ALABAMA MEDICAID AGENCY

Request for Proposal

For the

Recipient Subsystem Phase II

ITB #: 09-X-2205831
February 25, 2011
Version 1.0

Note: This is an updated draft of this RFP. Changes made to the previous version of this draft have been highlighted in yellow, and comment boxes have been added to allow a reviewer to use the MS Word 'Next' button to move quickly between changes.

REVISION HISTORY

Version Number	Date	Reviewer	Comments

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Section A. RFP Checklist

1. ____ **Read the *entire* document.** Note critical items such as: mandatory requirements; supplies/services required; submittal dates; number of copies required for submittal; licensing requirements; contract requirements (i.e., contract performance security, insurance requirements, performance and/or reporting requirements, etc.).

2. ____ **Note the project director's name, address, phone numbers, and email address.** This is the only person the Vendor is allowed to communicate with regarding the RFP and is an excellent source of information for any questions that arise.

3. ____ **Take advantage of the "question and answer" period.** Submit questions to the project manager by the due date(s) listed in the Procurement Timetable and view the answers as posted on the Web (place link here when available). All addenda issued for the RFP are posted on the State's web site and will include all questions asked and answered concerning the Request for Proposal (RFP).

4. ____ **Use the forms provided**, i.e., cover sheet, disclosure form, etc.

5. ____ **Check the State's web site for RFP addenda.** It is the Vendor's responsibility to check the State's web site at www.medicaid.alabama.gov for any addenda issued for this RFP, no further notification will be provided. Vendors must submit a signed cover sheet for each addendum issued along with the RFP response.

6. ____ **Review and read the RFP document again** to make sure that all requirements have been addressed. The original response and the requested copies must be identical and be complete. The copies are provided to the Evaluation Committee members and will be used to score the response.

7. ____ **Submit the response on time.** Note all the dates and times listed in the Procurement Timetable and within the document, and be sure to submit all required items on time. Late proposal responses are ***never*** accepted.

This checklist is provided for assistance only and should not be submitted with Vendor's Response.

Section B. Proposal Compliance Checklist

NOTICE TO VENDOR:
It is highly encouraged that the following checklist be used to verify completeness of Proposal content. **It is not required to submit this checklist with your proposal.**

Vendor Name

Project Director Review Date

*Proposals for which **ALL** applicable items are marked by the Project Director are determined to be compliant for responsive proposals.*

☒ IF CORRECT	*BASIC PROPOSAL REQUIREMENTS*
☐	1. Vendor's original proposal received on time at correct location.
☐	2. Vendor submitted the specified copies of proposal and in electronic format.
☐	3. The Proposal includes a completed and signed RFP Cover Sheet.
☐	4. The Proposal is a complete and independent document, with no references to external documents or resources.
☐	5. Vendor submitted signed acknowledgement of any and all addenda to RFP.
☐	6. The Proposal includes written confirmation that the Vendor understands and shall comply with all of the provisions of the RFP.
☐	7. The Proposal includes required client references (with all identifying information in specified format and order).
☐	8. The Proposal includes a corporate background.
☐	9. The Proposal includes a detailed description of the plan to manage, redesign, develop, and implement the new Recipient Subsystem of the Alabama Medicaid Management Information System (AMMIS) as outlined in the request for proposal regarding each element listed in the scope of work.
☐	10. The response includes (if applicable) a Certificate of Authority or letter/form showing application has been made with the Secretary of State for a Certificate of Authority.

Section C. Procurement Timetable

The following Procurement Timetable represents the State's best estimate of the schedule that shall be followed. Except for the deadlines associated with the Vendor question and answer periods and the proposal due date, the other dates provided in the schedule are estimates and will be impacted by the number of proposals received. Note that if addendums or oral presentations are determined to be required, the dates in the following table may need to be updated. The State reserves the right, at its sole discretion, to adjust this schedule as it deems necessary. Notification of any adjustment to the Procurement Timetable shall be posted on the RFP web site at www.medicaid.alabama.gov.

Table 1: Procurement Timetable

Activity	Date	Central Time
Request for Proposal is Issued	March 2, 2011	By 5:00 PM CST
Deadline for Submitting Questions to be Answered at the Pre-Proposal Conference	March 20, 2011	By 5:00 PM CST
Deadline for Submitting Intent to Attend Pre-Proposal Conference Notification	March 23,2011	By 5;00 PM CST
Mandatory Pre-Proposal Conference	March 30, 2011	10:00 AM CST
Deadline for Submitting Questions after Pre-Proposal Conference	April 06, 2011	By 5:00 PM CST
Answers to Questions to be posted on web site	April 13, 2011	By 5:00 PM CST
Proposal Submission Date	April 28, 2011	By 5:00 PM CST
Opening of Proposal Responses	April 29, 2011	9:00 AM CST
Selection & Notification of Winning Vendor (Estimated)	May 27, 2011	5:00 PM CST
Centers for Medicare & Medicaid Services (CMS) Approval of Contract	June 21, 2011	5:00 PM CST
**Legislative Oversight Committee Review and Governor's Approval of Contract	July 7, 2011	5:00 PM CST
Contractor Begins Work (Estimated)	July 18, 2011	8:00AM CST

* *By State law, this contract must be reviewed by the Legislative Contract Review Oversight Committee. This committee meets monthly and can, at its discretion, hold a contract for up to forty-five (45) days. The "Contractor Begins Work" date, as shown in the table above, may be impacted by the timing of the contract submission to the committee for review and/or by action of the committee itself.

1 ADMINSTRATIVE SECTION

1.1 General Requirements

1.1.1 Introduction

This Request for Proposal (RFP) provides prospective Vendors with sufficient information to enable them to prepare and submit proposals for consideration by the Alabama Medicaid Agency ("the Agency") to satisfy the need for expert assistance in the completion of the goals and requirements of this RFP. Instructions governing proposal submission and the material to be included therein, mandatory and other requirements, which shall be met, by the Vendor and their proposal in order to be eligible for consideration are included in this RFP.

The Awarded Vendor shall be solely responsible for the performance of all tasks, meeting all requirements and delivering all deliverables contained or identified within this RFP.

1.1.2 Issuing Office

This RFP is issued under the authority of the Code of Alabama, 1975, Section 41-16-20 through 41-16-72 of the Alabama code and 45 CFR 74.40 through 74.48. The RFP process is a procurement option allowing the award to be based on stated evaluation criteria. The RFP states the relative importance of all evaluation criteria. No other evaluation criteria, other than as outlined in the RFP, will be used. The Agency solicits sealed proposals to acquire the professional services of an application systems developer for design, development, and implementation (DDI) of a new Recipient Subsystem for the Agency.

1.1.3 Invitation to Submit Proposals

All interested Vendors are invited to submit a proposal in accordance with the rules, procedures and dates set forth herein.

In accordance with 45 CFR 74.43, the State encourages free and open competition among Vendors. Whenever possible, the State will design specifications, proposal requests, and conditions to accomplish this objective, consistent with the necessity to satisfy the State's need to procure technically sound, cost-effective services.

1.1.4 Purpose

It is the intent of the Agency to provide prospective Vendors with sufficient information to enable them to prepare and submit proposals which demonstrate the Vendor's ability to satisfy the requirements for the redesign, development, and implementation of the Recipient Subsystem of the Alabama Medicaid Management Information System (AMMIS).

The goals of this RFP are:

- To acquire a qualified Vendor to manage, design, develop, modernize, and implement a new Recipient Subsystem for the Agency
- To ensure that the new Recipient Subsystem conforms to the following:
    - Meets or exceeds federal certification and performance standards

- Uses electronic data and automated processes whenever possible
- Uses a modular, flexible approach to systems development, including the use of open interfaces and exposed application programming interfaces; the separation of business rules from core programming; and the availability of business rules in both human and machine readable formats
- Supports the eligibility determination and ongoing Beneficiary case management processes through a rules engine approach
- Supports accurate and timely processing of 'claims' of eligibility and effective communications with providers, beneficiaries, and the public
- Provides a Decision Support System (DSS)
- Allows future changes in Alabama Medicaid programs to be implemented accurately, efficiently, and timely in an easily configurable manner
- Fully communicates within the Agency and outside entities
- Facilitates data extraction for reporting and analysis that results in accurate and useful information that reflects the dynamics of the program
- Produces transaction data, reports, and performance information that would contribute to program evaluation, continuous improvement in business operations, and transparency and accountability
- Ensures alignment with, and incorporation of, industry standards: the Health Insurance Portability and Accountability Act of 1996 security, privacy and transaction standards; accessibility standards established under section 508 of the Rehabilitation Act, or standards that provide greater accessibility for individuals with disabilities, and compliance with Federal civil rights laws; standards adopted by the Secretary under section 1104 of the Affordable Care Act; and standards and protocols adopted by the Secretary under section 1561 of the Affordable Care Act
- Aligns to and advances increasingly in Medicaid Information Technology Architecture (MITA) maturity for business architecture, data, and the continuing evolution of the MITA initiative
- Performs to the requirements of the Affordable Care Act (ACA)
- Ensures seamless coordination and integration with the Exchange (whether run by the State, Federal government or other entity), and allows interoperability with health information exchanges, public health agencies, human services programs, and community organizations providing outreach and enrollment assistance services
- Focuses on a Service Oriented Architecture (SOA)
- Utilizes multi-tier (N-Tier) architecture, Internet browser pages, thin clients, relational database structure and multiple security levels
- Maximizes the use of the Internet/Intranet as an operational tool to perform functions such as Beneficiary Services and other related support functions and use the Internet to enhance receipt and distribution of information to Agency

staff, other State Agencies, federal agencies, private entities, and the recipient community

- Is rigorously tested and properly installed prior to the start of operations or production implementation
- Is complete and fully operational within 24 months of contract signing
- Promotes sharing, leverage, and reuse of Medicaid technologies and systems within and among States

The selected Vendor shall be responsible for perfor*mance of all duties specified w*ithin this RFP for the amount of compensation quoted in its response to this RFP. It is expected that the selected Vendor will utilize automated design, development, and testing tools to the maximum extent possible to achieve cost and schedule efficiencies.

Because of the diverse requirements and specifications of this RFP, the Agency encourages prospective Vendors to subcontract or partner with other professional entities to acquire additional expertise and resources necessary to successfully address all requirements, specifications, and deliverables of this RFP. The Agency seeks to get as many proposals as possible while ensuring open competition among Vendors.

In the event of a proposal submitted jointly by more than one organization, one organization must be designated as the prime Vendor and must have responsibility for project management and not less than 60 percent of the work to be performed (as measured by price). All other participants shall be designated as subcontractors. The Agency encourages Vendors to consider the use of minority and small business firms as subcontractors.

1.1.5 Scope

The scope of this RFP includes the management, redesign, development, and implementation of the new Recipient Subsystem of the AMMIS. The Vendor selected must be capable of providing a subsystem that meets the requirements located in Appendix C, the contents of this RFP, all CMS certification requirements, and be aligned with MITA standards.

The Agency operates in a Microsoft technology environment and desires solutions to make maximum use of the tools that are available in this environment. Priority will be given to designing, building, and customizing a solution that runs on SharePoint Foundation and SharePoint Server environment using the.NET Framework (Visual Basic.NET, ASP.NET, C#...) which will further the Agency's direction toward maximizing existing frameworks which the Agency can maintain in the future. The Agency has established a strategic partnership with Microsoft and uses Microsoft products throughout its infrastructure. The Agency believes a Vendor can create data-rich Web pages within SharePoint, build powerful workflow-enabled solutions, and design a look and feel for the new Recipient Subsystem that will appeal and be familiar to the intended users.

As a precursor to this RFP and further solidifying the Agency's commitment to a SharePoint 2010 system the Agency has initiated the Medicaid Electronic Content Management System (MECMS) Project to implement electronic content management within SharePoint. KnowledgeLake is the software tool being used as the interface for creating the index values for scanned documents saved electronically to SharePoint. KnowledgeLake acts as an 'add-on' to the more basic, comprehensive SharePoint capabilities. A worker might use some

KnowledgeLake windows to add data, but all the data is passed into SharePoint. It is expected that the solution presented for the new Recipient Subsystem by the Vendor, if not KnowledgeLake, will also be an 'add-on' to SharePoint without separate repositories or features limiting its use. Any content management solution proposed must be fully integrated with the proposed software solution. If a solution other than KnowledgeLake is proposed, existing metatags currently being used by the Agency must be maintained[NF1]. Information regarding the proposed SharePoint solution architecture and design can be found in Appendix U[NF2].

The State discourages any Vendor from proposing a software solution that will create a proprietary dependency unless approved by the State. For purposes of transparency, all Vendors are requested to include in their proposal a complete list of all software including COTS products that will be proposed in support of the new Recipient Subsystem. In cases where a software solution could potentially meet the criteria of a proprietary dependency, the Vendor is requested to describe the reason for the need, substitutions that are possible (if any), additional cost if not used and if a substitution is used instead, and if no substitution is available to describe the extent of the dependency.

The Agency is also moving forward to incorporate a Commercial Off-the-Shelf (COTS) rules engine, InRule, in SharePoint. This direction was influenced by the development of an eligibility system in Oklahoma that was web and rules engine based. The Agency has the approval from the State of Oklahoma to obtain and use the existing code and business rules for their eligibility system[NF3]. The Agency wants to leverage the existing application code and business rules as much as possible and suggests that the selected Vendor evaluate the functionality of the Oklahoma system to determine if parts of that system's application code are suitable to adopt and modify for Alabama's purposes or if it would be easier to develop from scratch within SharePoint. The selected Vendor must meet all requirements and specifications to build and deliver a technological state of the art highly efficient N-Tier business process modeled system that drives a business rules based application software system that is scalable, transferable, and fully integrated. The N-Tier design of the system shall require and utilize relational database technology as its foundation and database tier/level. As the middle tier in the N-Tier design, the rules based engine shall work in conjunction with the database engine and the presentation tier/level to deliver a modern, efficient, intelligent information system that meets or exceeds stakeholders' needs. The modernized N-Tier design of the Recipient Subsystem shall be built to align with all aspects of the ACA, the MITA 2.01 Framework and technology architecture for standards, interoperability, data exchange, and advancement of the MITA 2.01 maturity level of the business and technical areas and processes. Refer to the MITA Maturity Matrix in Appendix N for information regarding the maturity level of each of the business and technical areas.

The desired system design, development, and subsequent implementation of a new Recipient Subsystem must meet the Agency's goals and produce benefits that significantly improve and simplify business processes or tasks. The newly implemented Recipient Subsystem will:

- Automate certification processes for eligibility workers
- Provide electronic case file and document management
- Improve recipient services
- Increase speed of service
- Make maximum use of human and technology resources

- Deliver short and long term administrative cost savings
- Incorporate administration functions such as Quality Control (QC) audits and online application processes and automate budgeting
- Employ Federal and State required file transmission processes (Medicare Modernization Act of 2003 (MMA Part D), CMS's Medicare Enrollment Database (EDB), Internal Revenue Service, Social Security Administration and others)
- Vigorously employ interface file matches in the eligibility determination process
- Ensure end to end secure transmission of all data
- Provide ease in system software maintenance
- Integrate inputs and production of output files and reporting
- Facilitate change management processes

The Recipient Subsystem will include a Decision Support System for recipient data meeting CMS certification requirements for MMIS Beneficiary Management. The new Recipient Subsystem will also include tools which support the following:

- Beneficiary outreach, intake and referral, document and workflow management, beneficiary verification and validation, beneficiary eligibility determination and enrollment, beneficiary case maintenance, and reporting
- Interfaces and data exchanges with other Alabama state agencies, federal and private entities
- Third Party Liability (TPL) identification
- Eligibility program integrity (PI) and quality assurance (QA)
- Non-Emergency Transportation (NET) payment processing
- CMS reporting on beneficiaries
- HIPAA standard 270/271 transactions

The Agency is seeking a solution that incorporates the Medicaid Information Technology Architecture (MITA) 2.01 Framework into a Service Oriented Architecture (SOA) solution that uses the Enterprise Service Bus (ESB) integration to enhance the interoperability of a technological innovated N-Tier system based on a rules-driven engine.

This RFP contains numerous instructions governing proposal submission requirements and the material to be included therein. These are mandatory submission and proposal completion requirements that must be met to be eligible for consideration. Proposal responses shall be submitted consistent with the format and content specified in *Section 3 – Vendor Response Format.*

Failure, in whole or in part, to respond to a specific mandatory requirement shall result in rejection of the Vendor's proposal as non-compliant with the RFP requirements during the evaluation process or at any time that such deficiency is discovered. The Agency at its sole discretion reserves the right to waive minor irregularities.

The Agency reserves the right to reject any and all proposals submitted in response to this RFP.

Subsequent to the opening of the sealed proposals, discussions may be conducted by the Agency with Vendors for the purpose of clarification to assure full understanding of and responsiveness to the solicitation requirements. Vendors shall be accorded fair and equal treatment with respect to any opportunity for discussion. Where it appears that a proposal submitted fails to meet mandatory responsiveness requirements, the Agency reserves the right to determine the compliance of the Vendor.

1.1.6 Background

In order to solicit informed proposals for this RFP this section covers the following areas:

- Agency statistics
- Alabama Medicaid Management Information System (AMMIS)
  - Medicaid Management Information System (MMIS)
  - AMMIS Recipient Subsystem (RS) and its Interfaces
- My Alabama (formerly Alabama Camellia II) Project
- MITA Assessment & BPR – Medicaid Invitation To Bid (ITB)#: 09-X-2205831
  - MITA 2.01 State Self-Assessment (SS-A)
  - Business Process Reengineering (BPR) Efforts
  - Development of Baseline Requirements
- State Technical Architecture

1.1.6.1 Alabama Medicaid Agency Statistics

Congress created Medicaid in 1965, under the provisions of Title XIX of the 1965 amendments to the Social Security Act. Medicaid started in Alabama in 1970 as a State Department of Public Health (DPH) program. In 1977, the Alabama Medical Services Administration was made an independent State Agency. In 1981 it was renamed the Alabama Medicaid Agency. Refer to Appendix M for the high level organizational structure of the Medicaid Agency. The Agency is responsible for assuring that Medicaid eligible Alabamians have the opportunity to request and receive Medicaid services by qualifying through an eligibility process. Providers of direct services are reimbursed for medical services received by Medicaid beneficiaries. The Agency makes reimbursement for different services and functions using Federal and State matching funds. The Federal Financial Participation's (FFP) Federal Medical Assistance Percentage match (FMAP) for specific Medicaid cost can be up to 75 percent or higher with most other administrative costs receiving 50 percent Federal funding. The remaining funding percentage is made up of State or other funding sources. Enhanced Federal match of 90 percent is also available for information systems projects, such as the modernization of the Recipient Subsystem, for meeting requirements set out in State Medicaid Manual (SMM), 11210 and 42 CFR-433.15.

During Fiscal Year (FY) 2009, there were 964,171 persons eligible for Medicaid in at least one month of the year. The average number of persons eligible for Medicaid per month was 803,187. The monthly average is the more useful measure of Medicaid coverage because it takes into account the length of eligibility. Of the 964,171 persons eligible for Medicaid in FY

2009, about 85 percent actually received care for which the Agency paid. These 821,602 persons are referred to as beneficiaries. The remaining persons incurred no medical expenses paid for by the Agency. Many of the individuals who had no medical expenses paid for by the Agency were partially eligible such as Qualified Medicare Beneficiaries (QMBs) only or Specified Low-income Medicare Beneficiaries (SLMBs).

Alabama's population grew from 4,720,976 in 2007 to 4,799,189 in 2009. The segment of the population eligible for Medicaid services has risen from 10.4 percent in FY 1990 to 20.1 percent in FY 2009. However, the segment of the population eligible for Medicaid services did drop in recent years from 21.1 percent in 2006 to 20.1 percent in 2009. It is roughly estimated that with the implementation of Health Care Reform that some additional 400,000 citizens will be eligible. Of those individuals receiving Medicaid in 2009, 30.7 percent are children.

Medicaid in Alabama covers the following groups:

- Infants born to Medicaid-eligible pregnant women
- Children under age 6 and pregnant women whose family income is at or below 133 percent of the federal poverty level (FPL)
- Children ages 6-18 whose family income is up to 100 percent of the federal poverty level
- Recipients of adoption assistance
- Children in foster care through the Department of Human Resources (DHR)
- Children in the care of the Department of Youth Services (DYS)
- Low income families with at least one child under 19 living in the home who meet the eligibility requirements in the State's Aid to Families with Dependent Children (AFDC) plan in effect on July 16, 1996
- Supplemental Security Income (SSI) recipients determined eligible by the Social Security Administration (SSA)
- Certain Medicare beneficiaries whose income is below a certain limit
- Special protected groups, including those who lose eligibility for cash assistance or supplemental security income (SSI) due to an increase in earnings from work, Social Security benefits, or child/spousal support
- Institutionalized individuals with income and resources below specified limits
- Certain aliens may receive emergency services if they meet all other program requirements except for citizenship/alien status
- Females under age 65 in need of treatment for breast or cervical cancer who have been referred through the National Breast and Cervical Cancer Early Detection Program
- Individuals who qualify for optional waiver programs, such as Plan First (family planning), State of Alabama Independent Living (SAIL), Elderly and Disabled, Mentally Retarded, Technology Assisted, and Human Immunodeficiency Virus (HIV)/Acquired Immune Deficiency System (AIDS)

Additional information on the above covered groups is provided at:
http://216.226.177.83/documents/3.0_Apply/3.1_General_Info/3.1_Eligibility_Group_Chart_2-2009.pdf

Recent statistics on applications, awards, denials, and terminations are provided at:
http://medicaid.alabama.gov/CONTENT/2.0_newsroom/2.6_Statistics.aspx[NF4]

1.1.6.2 Alabama Medicaid Management Information System (AMMIS)

1.1.6.2.1 Medicaid Management Information Systems (MMIS)

The Agency outsources its claims processing and adjudication services to a Fiscal Agent in a Medicaid Management Information Systems (MMIS) business model approved and certified by the Centers for Medicare and Medicaid Service (CMS). The Agency's current Fiscal Agent is Hewlett Packard Enterprise Services (HP). As the Agency's Fiscal Agent, HP processes and adjudicates approximately 24 million claims on an annual basis with an estimated cost of 3.5 to over 4 billion dollars annually. Figure 1 depicts the AMMIS in Alabama.

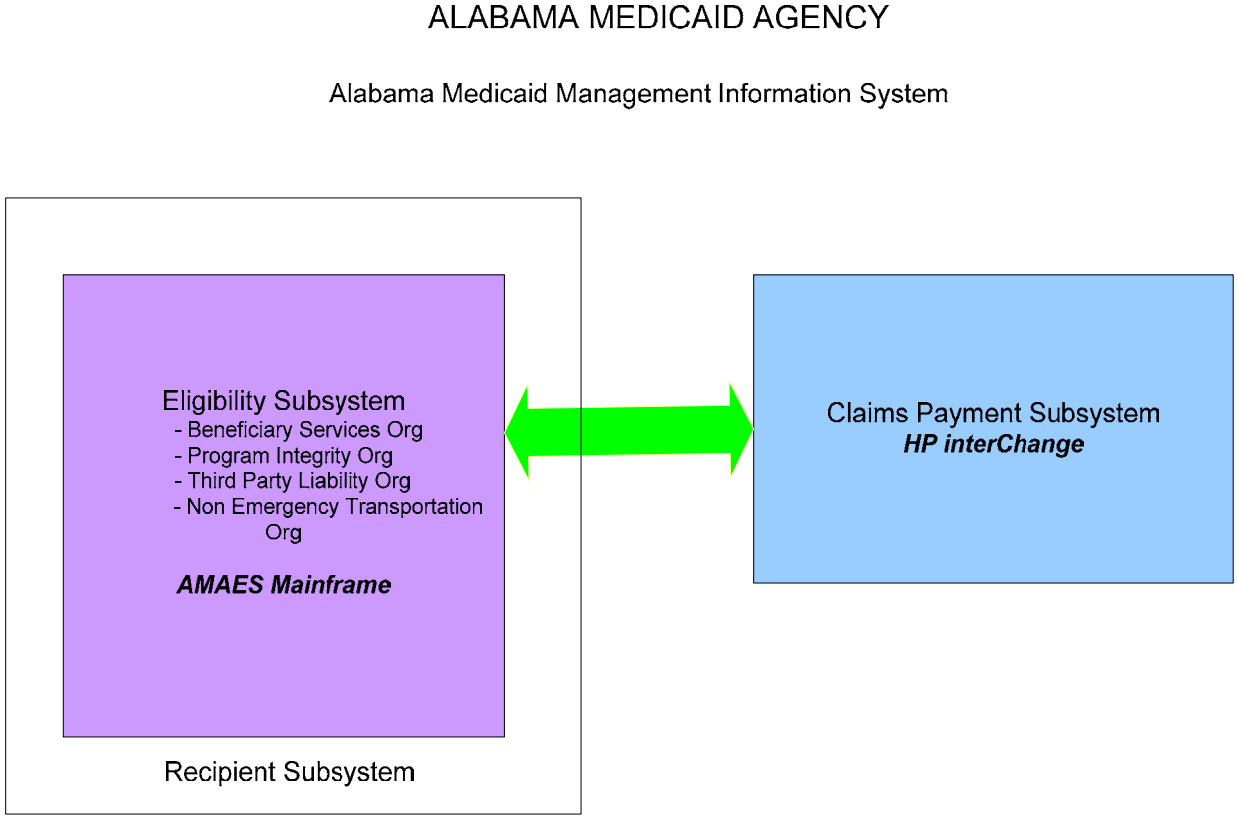


Figure 1: Alabama MMIS

In February of 2008, the Agency upgraded its MMIS through a contract amendment and implemented interChange, HP's latest MMIS application software system. ***It is important to***

note that Medicaid's Recipient Subsystem is a separate State maintained application system that is not part of the HP interChange system. The basic interChange architecture was transferred into Alabama from the HP developed MMIS interChange application system, currently running in the State of Oklahoma. Alabama's version of the Oklahoma interChange application system was enhanced to include multi-payer and improved benefit plan processing, as well as a state-of-the-art N-Tier architecture which consists of a presentation layer/tier, business layer/tier, and a data layer/tier. The CMS-certified base system is a highly developed and feature-rich system centered on a Medicaid relational data model. It divides the application into components so that they process on different networked computers. This design and supporting architecture delivers enhanced flexibility, scalability, and reliability, as recognized by the National Association of State Information Resource Executives (NASIRE) Award for innovative use of technology that the system received after its implementation in Indiana. The interChange system is composed of different software components that are loosely joined and arranged in various software and architectural patterns to enable ease of use, development, and maintainability. The core components include MMIS batch processing developed in C programming language executing in a Unix environment and an N-Tier web-based user interface written primarily in C# (C Sharp), utilizing Microsoft ASP.NET. The MMIS data layer/tier resides in an Oracle 10 gigabyte database. Critical software components for letter generation, ad-hoc reports, Optical Character Recognition (OCR), electronic document storage and management and Electronic Data Interchange (EDI) are also integrated into the interChange system.

The high-level diagram in Figure 1 depicts the basic business model used to construct the architecture of the Alabama specific MMIS interChange system.

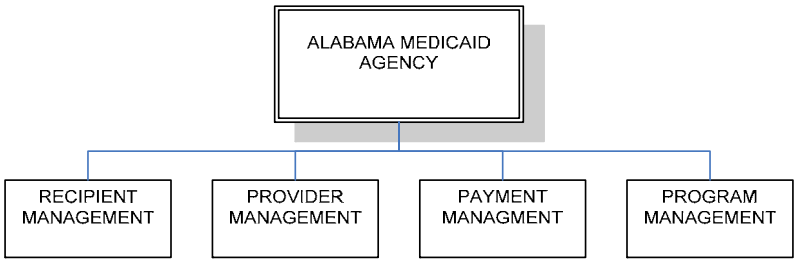


Figure 2: MMIS interChange Architecture

As shown in the above high level business model, the MMIS is engineered to support the identified key core business functions and management areas consisting of Recipient Management, Provider Management, Payment Management, and Program Management. The Recipient Management components of interChange support the following business function areas: Recipient, Long-Term Care (LTC), Managed Care, Early and Periodic Screening, Diagnosis, and Treatment (EPSDT), Comprehensive Recipient Online Collections System (CROCS) and the Eligibility Verification System (EVS). **It is not the same as the Recipient Subsystem which is the subject of this RFP**[NF5]**.**

Again, it is important to note that the Recipient Management component of the interChange architecture receives recipient data from the separate State maintained Recipient Subsystem (aka AMAES) which is described in the following section and is the focus for modernization in the RS R&R Phase II Project.

The Provider Management business area components of interChange support Medicaid's key function areas of: Provider Enrollment, Provider Maintenance, and Provider Communications. Payment Management supports the key business component of Claim Encounters, Drug Rebate, Reference, Prior Authorization, Third Party Liability (TPL), Financial, and Drug Utilization Review. Business modules within the Program Management component of interChange supports: General Requirements, the Decision Support System (DSS), Management Administrative Reporting Subsystem (MARS), Surveillance Utilization Review (SUR), and an Integrated Test Facility (ITF). All of the identified business components, functions, and management areas depicted and identified above make-up the infrastructure of the MMIS.

1.1.6.2.2 Recipient Subsystem and its Interfaces

This section of the RFP provides background reference information on the Recipient Subsystem to support this RFP. In parallel with the development of the State's MMIS interChange application system, the Agency has developed a number of manual and automated support systems to facilitate the cross-agency business processes of recipient management. The State and Federal agencies participating in processing or providing information pertaining to client applications, or providing supporting information used in reaching an eligibility determination, are shown in Table 2.

Table 2: Participating Agencies

Participating Agencies
Department of Human Resources (DHR)
Department of Public Health (DPH)
Department of Rehabilitation (DOR)
Department of Mental Health (DMH)
Department of Senior Services (DSS)
Department of Industrial Relations (DIR)
Social Security Administration (SSA)
Centers for Medicare & Medicaid Services (CMS)
Internal Revenue Service (IRS)

These agencies, their support systems, and the exchange of information between them are sometimes referred to as the Alabama Medicaid Management Information System (AMMIS) Recipient Subsystem The current fiscal agent's MMIS interChange system is one of the software systems that provide feeds to the Recipient Subsystem.

In addition to the MMIS interChange system the other major information systems that provide feeds to the Recipient[NF6] Subsystem are:

- Income Eligibility Verification System (IEVS)
- Insure Alabama/ADI
- State Data Exchange (SDX)

- State Verified Eligibility System (SVES)
- Beneficiary Earnings Data Exchange (BENDEX)

For the past 32 years, AMAES has been the one consistent factor within the recipient subsystem. Originally created as a mainframe based Indexed Sequential File (ISAM) in 1978, AMAES was rebuilt as a variable length file that utilized a Virtual Sequential Access Method (VSAM) database management structure in 1983. In 2009, the Agency started an internal project to rebuild AMAES for a third time utilizing UDB DB2 as its relational database management structure.

The State's AMAES system pre-dates the fiscal agent's MMIS system. The first CMS-certified MMIS system was constructed on a common infrastructure, architecture, and programming language with both AMAES and AMMIS sharing a common recipient subsystem. Functionally, this recipient subsystem provides three interrelated features: 1) Intake, 2) Eligibility, and 3) Redetermination.

With the separation and subsequent redevelopment of the fiscal agent's MMIS system, the State has continued to retain and maintain these recipient features in AMAES, with AMAES providing regular updates to AMMIS.

1.1.6.2.2.1 Overview of the Recipient Subsystem

Alabama does not currently have a single recipient system. Instead, beneficiary services may be applied for at multiple agencies and the processes of applying for beneficiary services and eligibility determination are provided through a combination of internal and external systems supported by State agencies, third party vendors, and their information technology personnel. The collection of systems that provide beneficiary services exchange core beneficiary applicant and service information between each other and between external State, federal and corporate entities.

The AMAES application is the system of record for making eligibility determinations for Medicaid recipients. In addition to providing the core application and eligibility functions, AMAES also supports a number of batch programs that provide extraction and data exchange capabilities to multiple other systems. Eligible applicants and updates to existing recipient information are in turn provided to the AMMIS application for claims processing provider management and third party recovery.

External applicants can start the application process by completing an online web application using the DPH Insure Alabama application. Application referrals from DPH are exchanged with the AMAES application, which in turn refers ineligible applications to the DPH ALLKids program.

AMAES supports multiple management reports to assist in managing case workloads. These are disseminated to workers and their supervisors through the Feith document databases system and supporting web interface as computer-generated reports.

AMAES is a COBOL/CICS/VSAM system consisting of three logical subsystems: Family Services, District Office, and Support Services. The AMAES system is deployed to three Logical Partitions (LPARS) on the State of Alabama IBM z/800 mainframe: development, staging, and production.

- Customer Information Control System (CICS) an IBM online transaction processing program
- DB2 is an IBM family of relational database management system products
- RACF (Resource Access Control Facility) service that protects vital system resources and controls what users can do on the operating system
- COBOL (Common Business Oriented Language) a second-generation programming language

Interfaces

As mentioned in section 1.1.6.2.2 above, AMAES interfaces with numerous systems both internal and external to the Agency.

The following table lists the Recipient Subsystem current and future interfaces and includes the name of the agency with which the interface occurs, interface name, nature of the interface (interagency, intra agency, interstate, etc.), frequency of the data exchange and whether the data is sent, received or is a two-way interface.

An asterisk beside the interface name indicates the Interface currently exists. Currently most interfaces are batch or files places on the mainframe for retrieval by other agencies. In many instances it is indicated that the data exchange in the future will be online/real-time/batch. This designation allows opportunity to evaluate the feasibility of smaller agencies and programs having web access through specially designed web pages to enter their information for eligibility determination and/or updates i.e. Catholic Social Services for Refugee Assistance Medicaid.

Table 3: Recipient Subsystem Current and Future Interfaces

Source / Target	Department / Agency	Interface Name	Send and/or Receive	Data Exchange (Future)
Inter-Agency State Interfaces	DHR (Department of Human Resources)	TANF (Title IV-A)*	Send/Receive	Online/Real-time
		ALECS (Title IV-D Child Support)*	Send/Receive	Online/Real-time/Direct Inquiry
		SNAP (Food Stamps)*	Send/Receive	Online/Real-time
		FACETS*	Send/Receive	Online/Real-time
		SACWIS*	Send/Receive	Online/Real-time
		HIPAA 270/271*	Send/Receive	Batch
		EV13*	Send	Online/Real-time
	DPH (Department of Public Health)	CHIP (Children's Health Insurance Program) ALLKids*	Send/Receive	Online/Real-time/Batch
		Vital Events*	Send/Receive	Online/Real-time/Batch

Source / Target	Department / Agency	Interface Name	Send and/or Receive	Data Exchange (Future)
		SVES Requests*	Send/Receive	Batch
		SVES Responses*	Receive	Batch
		HIPAA 270/271*	Send/Receive	Batch
		Plan First Waivers*	Send/Receive	Batch and Online/Real-time
		Newborn File from DPH*	Receive	Real-Time/Batch
		Breast and Cervical Cancer Program	Send/Receive	Batch and Online/Real-time
		MSIS Data (CHIP) for submission to CMS	Receive	Batch
		Waiver Files (E&D and HIV)*	Send	Batch and Online/Real-time
	DMH (Department of Mental Health)	Waiver File (Intellectual Disabilities)*	Send	Batch and Online/Real-time
		HIPAA 270/271*	Send/Receive	Batch
	DRS (Department of Rehabilitation Services)	HIPAA 270/271*	Send/Receive	Batch
		Waiver File (SAIL)*	Send	Real-time/Batch
	DIR (Department of Industrial Relations)	State Directory of New Hire Database	Send/Receive	Online/Real-time/Batch
		Wages	Send/Receive	Online/Real-time/Batch
		Worker's Compensation	Send/Receive	Online/Real-time/Batch
		Unemployment Compensation	Send/Receive	Online/Real-time/Batch
	Revenue Department	Wages	Send/Receive	Online/Real-time/Batch
	Administrative Office of Courts	Administrative Office of Courts	Send/Receive	Online/Real-time/Batch
	DOC (Department of Corrections)	DOC (Department of Corrections)	Send/Receive	Online/Real-time/Batch
	Retirement Systems of Alabama	Teachers, State, and Judicial Employees	Send/Receive	Online/Real-time
	Department of Youth Services (DYS)	DYS Children in State Custody (Eligible for SOBRA)	Send/Receive	Online/Real-time Online/Real-time/Batch
	MyAlabama.gov	MyAlabama.gov	Send/Receive	Online/Real-

Source / Target	Department / Agency	Interface Name	Send and/or Receive	Data Exchange (Future)
				time
	Department of Senior Services	Waiver files (E&D)*	Send/Receive	Online/Real-time
	Alabama Department of Insurance, Medicaid, CHIP, public/private health plans and other HHS programs	Health Benefit Exchange Transmission of Enrollment Information	Send/Receive	Use existing HIPAA transaction standards ASC X12N 834, ASC X12N 270, and ASC X12N 271. If necessary, use new standards,
	Education Institutions	Based on Contract and Data sharing Agreements*	Send/Receive	Batch
Federal Agencies	SSA (Social Security Administration)	SOLQ (State Online Query)	Send/Receive	Online/Real-time
		SVES (State Verification Exchange System)*	Send/Receive	Batch – Daily
		8019*	Receive	Batch – TBD
		LIS (Low Income Subsidy)*	Receive	Batch
		BENDEX (Beneficiary Earnings Data Exchange)*	Send/Receive	Batch – TBD
		BEERS	Send/Receive	Online/Real-time/Batch
		SDX (State Data Exchange)*	Receive	Batch
		PICKLE*	Receive	Batch
		503 LEAD File*	Receive	Batch - Annual
	CMS (Centers for Medicare & Medicaid Services)	PERM (Payment Error Rate Measurement)*	Send	Batch – TBD
		Buy-in*	Send/Receive	Real-time/Batch
		EDB (Medicare Enrollment Database)*	Send/Receive	Real-time/Batch
		MSIS (Medicaid Statistical Information System)*	Send	Batch – Quarterly
		Medicare Modernization Act (MMA Part D) *	Send/Receive	Batch Real-time
	ACF (Administrative of Children and Families)	PARIS (Public Assistance Reporting Information System)*	Send/Receive	Online/Real-time/Batch
	DHS (Department of Homeland Security)	SAVE (Systematic Alien Verification for Entitlement)*	Send/Receive	Online/Real-time
	IRS (Internal	Federal Tax Information	Send/Receive	Online/Real-

Source / Target	Department / Agency	Interface Name	Send and/or Receive	Data Exchange (Future)
	Revenue Service)	(FTI)*		time/Batch
	USDA (US Department of Agriculture)	USDA (US Department of Agriculture)	Send/Receive	Online/Real-time/Batch
	USPS	NCOA and U.S. Postal Service Address Standardization API	Send/Receive	Online/Real-time/Batch
	Veteran's Administration	Veteran's Administration	Send/Receive	Online/Real-time/Batch
Private Entity Interfaces	EBT vendor (FIS currently) for Non-emergency Transportation	EBT*	Send/Receive	Online/Real-time
	Financial Institutions	Credit Unions and Banks	Send/Receive	Online/Real-time
	TALX/The Work Number	TALX	Send/Receive	Online/Real-time
	ADP	ADP	Send/Receive	Online/Real-time
	Insurance Companies	Insurance Companies	Send/Receive	Online/Real-time
	Catholic Social Services	Refugee Assistance Medicaid	Send/Receive	Online/Real-time/Batch
	Hospitals	Newborn Information	Send/Receive	Online/Real-time/Batch
	NAPHSIS (National Association for Public Health Statistics and Information Systems	EVVE (Electronic Verification of Vital Events)	Send/Receive	Online/Real-time
	Utility Organizations	Lifeline Link-Up, PSC, Individual Phone Companies, Other Utilities	Send/Receive	Online/Real-time
	Medicaid Contractors	Medicaid Contractors based on program needs	Send/Receive	Online/Real-time/Batch
	Statewide HIE (Health Information Exchange)	Statewide HIE (Health Information Exchange)	Send/Receive	Online/Real-time
	Health Care Service Institutions	Based on Individual Contracts and Data Sharing Agreements	Send/Receive	Batch

Source / Target	Department / Agency	Interface Name	Send and/or Receive	Data Exchange (Future)
Intra-Agency Interfaces	Alabama MMIS (HPES)	Nightly, Monthly, and Yearly AMAES Extract to HPES, including demographic, eligibility, retroactive eligibility, patient liabilities, exemptions from waivers, and other data needed for claims processing, assignment to or exemption from Managed Care plans, financial eligibility for LTC, etc. *	Send	Real-time/Batch
		Nightly Extract from HPES to AMAES, including data on assignments to Managed Care plans, LTC, EPSDT, Lock-in, and TPL data.*	Receive	Real-time/Batch
		Weekly Extract from AMAES to HPES for DSS*	Send	Real-time/Batch
		Monthly Reconciliation File from HPES to AMAES*	Receive	Real-time/Batch
		Monthly dual eligibles to HP*	Send	Real-time/Batch
		Monthly NET DSS file to HP*	Send	Real-time/Batch
		Nightly File from HPES to Agency Reporting Plastic Card Updates Made by the RCC from requests via the Recipient Web Portal*	Receive	Real-time/Batch
		Nightly File from HPES to Agency Reporting Changes to Email Addresses by recipient using the Recipient Web*	Receive	Real-time/Batch
		Nightly File from HPES to Agency Reporting Form-295 changes Made by the RCC from requests via the Recipient Web Portal*	Receive	Real-time/Batch
		Nightly File from HPES to Agency containing Form-295 Changes reported via the Recipient Web Portal (that cannot be updated by RCC).*	Receive	Real-time/Batch

Source / Target	Department / Agency	Interface Name	Send and/or Receive	Data Exchange (Future)
		Monthly TPL Insurance Policy extract file from HPES *	Receive	Monthly (Batch)
		Month-End Claims is used to update unborns and Sterilization indicators*	Receive	Monthly (Batch)
		Nightly file of NCOA updates of SOBRA address changes under 23 characters*	Receive	Real-time/Batch
		Nightly file of NCOA updates of all address changes*	Receive	Real-time/Batch
		Managed Care data for MSIS reporting*	Receive	Real-time/Batch
		TPL data for MSIS reporting*	Receive	Real-time/Batch
		EDB*	Send	Real-time/Batch
		ALECS response file (picked up on mainframe and sent to HP)*	Send	Real-time/Batch
Local Public Entity	Tax Assessor	Tax Assessor	Send/Receive	Online/Real-time

Figure 3 illustrates some of the same information included in table above such as the name of the agency with which the interface occurs, nature of the interface (interagency, intra agency, interstate, etc.) and shows whether the data is sent, received or is a two-way interface.

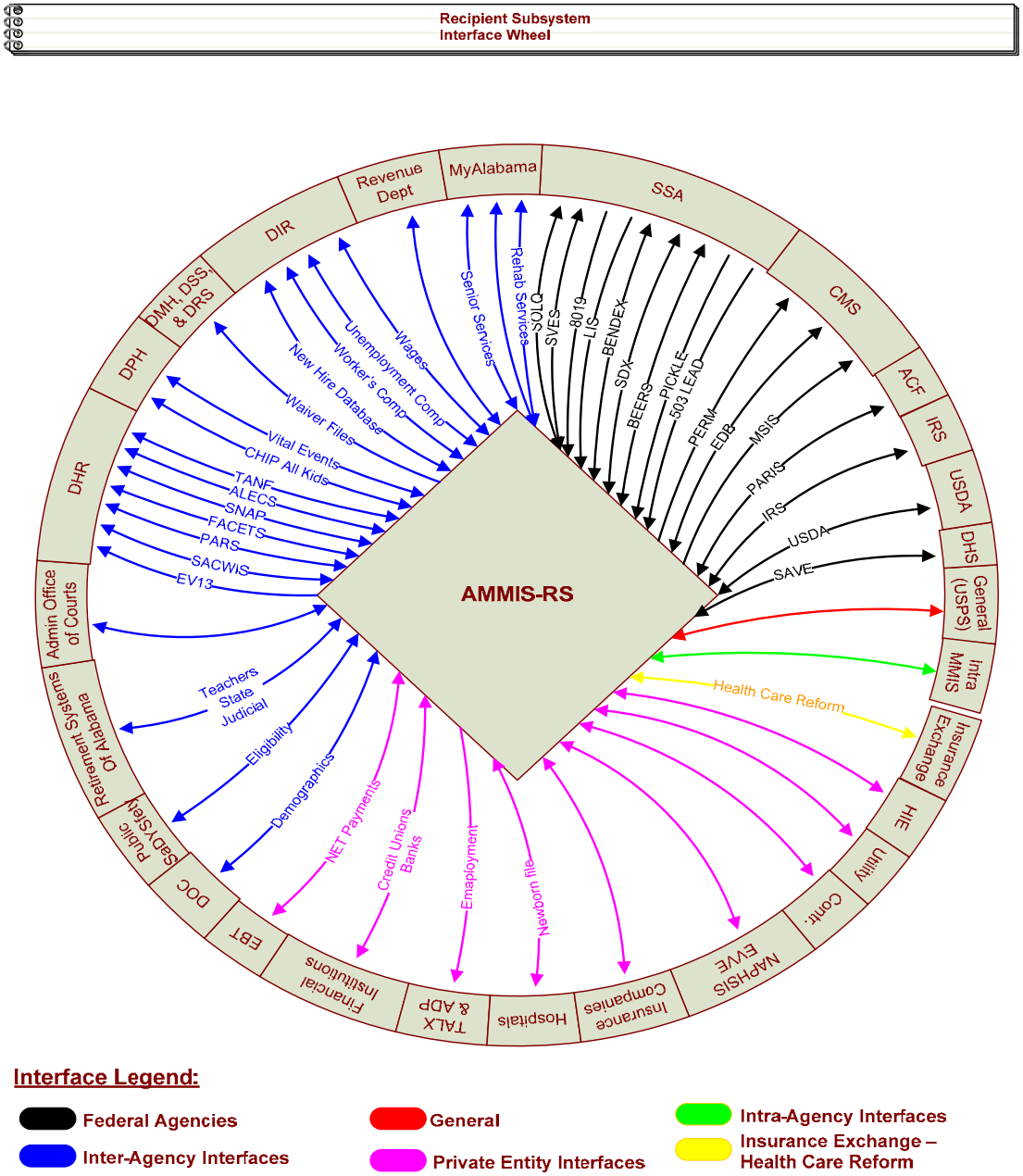


Figure 3: Recipient Subsystem Interfaces Diagram

1.1.6.3 My Alabama (formerly Camellia II) Project

The My Alabama Project's focus is to increase health and human service (HHS) outcomes for children and families by building an integrated HHS infrastructure to coordinate technology and business processes of multiple systems that provide services to Alabama clients and families. The Agency has been one of the lead agencies in the pilot with its Medicaid for pregnant women, Plan First family planning, Medicaid for children under 19, and Medicaid for Low Income Families program. Other agencies participating in the pilot are the Department of Human Resources (the Food Stamp and Temporary Assistance for Needy Families (TANF) programs), Public Health (ALLKids, State Children's Health Insurance Program (SCHIP)), Mental Health (Mental Retardation Services), and Rehabilitation Services (Children's Rehab Services).

My Alabama Project's background is being presented as information to the prospective Vendors as the My Alabama Project intends to overcome disparate systems unfriendly to clients and the increasingly complex eligibility processes facing families through a combination of technology innovation and service delivery improvements. As these goals are realized, it may have some impact on the modernized Recipient Subsystem.

Designed to integrate with existing systems, My Alabama plans to utilize middleware technology (BizTalk) and the use of an Enterprise Service Bus (ESB) distributed solution to allow agencies to improve their ability to serve clients through:

- An automated web based outreach screening and referral function that directly links with State agencies and links referrals across agencies
- Building and maintaining a Common Client Index to be used in cross agency common client identification and referral
- An automated sharing of eligibility information across agencies
- An automated initial client and worker scheduling function to reduce the number of office visits
- The ability for clients to access screening, referral, and eligibility from any site with internet access
- Providing enabling technology to case managers so they can coordinate case management actives for families

For more specific details and background on the My Alabama (formerly Camellia II) Project, visit the link below:

http://medicaid.alabama.gov/documents/4.0_Programs/4.3_LTC_Services/4.3.5_LTC_Rebalancing/4.3.5.5_Single_Point_Entry_Sub/4.3.5.5_Camellia_Tool_History_7-14-09.pdf[NF7]

1.1.7 MITA Assessment & BPR Project – Medicaid ITB#: 09-X-2205831

In March 2009, the Agency solicited proposals for Consultant support and technical assistance for the Medicaid Information Technology Architecture (MITA 2.01 Framework) State Self-Assessment and Business Process Reengineering Project. The Agency awarded FOX, a Cognosante Company, and their sub-contractor, Beacon Analytics, the contract for this Invitation to Bid (ITB). This engagement is Phase I of the RS-R&R Project and the final outcome

is the transition to Phase II. The following two subsections provide a current status of these efforts.

Note: The MITA Assessment & BPR Project has been renamed the Recipient Subsystem Modernization Project to better communicate the purpose of the Project. While the initial project had the limited scope of Phase I of the Agency's Recipient Subsystem Modernization initiative, the project now has the scope of both Phases I and II of the modernization effort.

1.1.7.1.1 MITA 2.01 State Self-Assessment Efforts

One goal of this project was to conduct a MITA 2.01 State Self-Assessment. The Agency's State Self-Assessment included:

- Business Process As Is Assessment and Validation
- Systems and Technology As Is Assessment [Technical Assessment (TA)]
- Targeted To Be Business Process Planning

It consists of two components: The business and technical assessments. The business assessment and the technical assessment were conducted in parallel.

Based on the information gathered in the Business Process sessions, Maturity levels for each process were assessed for both As Is and To Be (see Appendix N). The timeframe for the To Be assessment requested by the Agency in the ITB is up to three years. The goal of the State Self-Assessment was to produce an assessment based on current and future MITA alignment and interoperability of:

- The Alabama Medicaid Management Information Systems (MMIS)
- The Recipient Subsystem of the AMMIS (aka AMAES) and the related subsystems
- Statewide Health Information Exchange (HIE) (formerly Medicaid's Together for Quality (TFQ) Transformation Grant Health Information System (HIS) Project)
- My Alabama Project (formerly Camellia II Project) to increase health and human service outcomes for children and families by building an integrated Health and Human Services (HHS) infrastructure to coordinate technology and business processes of multiple systems

For all business processes, Alabama is currently at a MITA Maturity Level 1. The State wants to progress to MITA Maturity Level 3 for most business processes. Refer to the MITA Maturity Matrix located in Appendix O for further information. With the development and implementation of the new Recipient Subsystem, the Agency will be well on their way toward a Level 3 for those associated business processes.

1.1.7.1.2 Business Process Reengineering (BPR) Efforts

As an output of the ITB for MITA Assessment & BPR project (renamed as the Recipient Subsystem Modernization Project), and prior to the issuance of this RFP, an assessment, analysis, and design document for business process reengineering (BPR) was completed. A copy of the BPR document can be found in the Procurement Library. It is imperative that business processes of the Agency's Recipient Subsystem be re-engineered and the information technology (IT) components be redesigned and re-engineered around the MITA 2.01

Framework for a successful and complete modernization of AMAES. Ultimately, the successful modernization of AMAES shall result in a more comprehensive system that shall meet the emergent needs of clients and react expeditiously to the myriad of changes required of the Agency.

The objective of the detailed BPR analysis was to provide recommendations for both near- and longer-term improvements to the Agency's beneficiary-related business functions, laying the foundation for the development of a new Recipient Subsystem. The most overarching recommendations included:

- Implement the Self Service Web Portal
- Modify and Enhance the New Online Application for Medicaid Coverage
- Central Imaging and Document Management
- Implement an Electronic Case Record
- Implement System-Generated Forms
- Implement a Web-Based Worker Portal
- Additional Data Sharing and Data Matching
- Implement Automated Reports, Alerts, and Controls

As a result of the business process analysis that was completed during the Recipient Subsystem Modernization Project, flow charts depicting the current business processes (As Is) and the envisioned future business processes (To Be) flow diagrams were created. These flow diagrams are found in Appendix L Current and Future Business Processes.

1.1.7.1.3 Development of Baseline System Requirements

As another output of the ITB for the MITA Assessment & BPR project (renamed as the Recipient Subsystem Modernization Project), baseline system requirements were developed that addressed at a high level seven functions to support the future functionality of a modernized Recipient Subsystem. These seven functions include the continuum of processes that are performed across the overall Beneficiary Services function: from initial intake, to initial eligibility determination, to ongoing redetermination.

The baseline requirements served as the basis of the system requirements located in Appendices C and D. Baseline requirements were mapped to the Agency "Wish List" which is located in the Procurement Library (Appendix K) to ensure that system functionality desired by the Agency was addressed and if there were gaps, to address them in system requirements. From there an outline for the system requirements was developed and baseline requirements were associated to the most appropriate section in order to provide structure and organization. The outline was used for scheduling numerous Joint Application Requirement (JAR) sessions with Agency staff. Prior to the JAR session the system requirements were developed from the baseline requirements and the identified gaps from mapping. The system requirements were distributed in advance of the JAR sessions and reviewed individually during the JAR sessions. Changes were made based on Agency feedback. Traceability to original sources of requirements has been maintained and future changes to the system requirements located in Appendices C and D is being controlled with traceability continuing.

1.1.7.2 Health Care Reform – Patient Protection and Affordable Care Act (ACA)

On March 23, 2010, the Patient Protection and Affordable Care Act (ACA) became law which brought comprehensive health reform that has impact on the service delivery of the Agency. Although, federal regulations are not available at the writing of this RFP, the Vendor should be cognizant of the impact and timing of these reforms. Guidance for Exchange and Medicaid Information Technology (IT) Systems document from CMS was provided 11/3/2010, and the Agency requires compliance to this guidance.

It is anticipated that there will be a growth in Medicaid of 207,000 to a maximum of 490,000 for Alabamians between the ages of 19-64. The 207,000 estimate represents the minimum estimate of the number of Alabamians who will be newly eligible for Medicaid coverage as a result of ACA. There are nearly 2.8 million Alabama residents between the ages of 19 and 64. Of these, slightly over 490,000 have household income below 133% of the FPL. 42% of these are currently estimated to be without health insurance. The ACA expansion will also potentially expand Medicaid coverage by approximately 44,000 children aged 6 through 18. This is the sum of those who would be switched from All-Kids plus those who are reported to be uninsured.

One of the major impacts of the law is the establishment of a state-based system of health benefit Exchanges through which individuals can purchase coverage, with financial support for those between 133-400% of the federal poverty level, and expanding Medicaid eligibility as noted above. The Governor of Alabama has designated the Department of Insurance as having responsibility for the development of the Exchange. The Department of Insurance is at the initial phase of planning. Development and implementation of the Recipient Subsystem will require close coordination with the Department of Insurance to ensure that a:

- Consumer-friendly application process be developed for all health subsidy programs
- Seamless transition is coordinated across health subsidy programs
- Application and renewal processes are minimized by accessing data from other sources
- Transfer of consumer eligibility, enrollment, and disenrollment information between Medicaid and other insurance coverage options including CHIP, public/private health plans and other health and human service programs such as SNAP and TANF

A complicating factor in developing eligibility systems is that, under reform, states must track who is newly eligible for Medicaid (versus who was previously eligible) since the federal government will pay the majority of costs for newly eligible individuals. There are a number of unanswered questions about how states will need to continue to track these distinctions and whether they will need to maintain dual eligibility systems to do so. It is the Agency's plan that the new Recipient Subsystem shall track these distinctions and a dual eligibility system will not be maintained.

1.1.7.3 State Technical Architecture

The Agency currently utilizes 2 platforms – an internal Microsoft Windows 2003 Active Directory domain, and ISD State Data Center IBM z/800 Model 2066-003 mainframe computer. ll z/800 servers have a five Processor Unit (PU) MultiChip Module. The first PU is, in most cases, designated as a general-purpose engine with Processor Units two through four defined as

general purpose, Integrated Facility for Linux, or Coupling Facility engines for use in a Parallel Sysplex® cluster.

The fifth PU is used as a System Assist Processor (SAP) to drive large amounts of data through the I/O subsystem. A spare PU is available as a backup to any processing units that might fail.

Services Summary

A summary of the system services is provided in Table 4.

Table 4: AMAES Services

	Services	Services not Installed
Operating System	z/OS 1.9	
	Communications Server	
	Unix System Services	
	zSeries® File System (zFS)	
	Security Server (RACF®)	
	System logger	
	Workload Manager (Goal Mode)	
Network / Web Services		
	SSL	
		SecureWay® Security Server
		Lightweight Directory Access Protocol (LDAP) Server
	TCP/IP	
	IVORY XML/SOAP	
Transaction Services		
	CICS TS V2.3.	
		CICS Transaction Gateway.
	Novation (GT Software)	
File / Database		
	DB2 Universal Database® (UDB) Server V8	
CA – Schedule & Print	Unicenter CA-7 Job Management	
	Unicenter CA-11 Restart and	

	Services	Services not Installed
	Tracking	
	Spool	

Security

RACF policies and procedures have been established and documented by the State RACF Administration; ISD Planning, Standards and Compliance Office. These policies follow the Federal guidance as documented in the DISA OS/390 Security Technical Implementation Guide.

Refer to Appendix O for details regarding the technical architecture.

1.1.8 RFP Governance

The Commissioner of the Medicaid Agency, the Executive Steering Committee, and the Recipient Subsystem Project Manager (See Section 1.1.10) shall head the governance over this RFP. The Executive Steering Committee shall have approving authority on all Vendor contracted RFP requirements, deliverables and issues falling under this RFP. The Commissioner shall have final approving authority on RFP requirements, deliverables, and issues that require a decision above that of the Executive Steering Committee. The Agency has designated a Recipient Subsystem Deputy Project Manager to perform the overall management of the DDI project from the Agency's perspective. The Primary Coordinator, Secondary Co-Coordinators, and MMIS Coordinator (see next subsection) shall assist the Recipient Subsystem Project Manager and the awarded Vendor with resolving questions or issues involving the Agency staff and stakeholders. The project organization chart in Section 2.1.4 depicts the governance of this RFP. In the bullet section below is a listing of the positions of individuals that serve as governance resources.

Executive Steering Committee:

- Deputy Commissioner of Administrative Services
- Deputy Commissioner of Beneficiary Services/Secondary Co-Coordinator
- Deputy Commissioner Financial Management
- Deputy Commissioner Program Administration
- Director, Elderly and Disabled Division
- Director, Family Certification Division
- Director, Administrative Services Division
- Director, Finance Division
- Associate Director, Program Integrity Quality Control
- Director, Third Party Liability Division
- Director, Certification Support Division/Secondary Co-Coordinator

- Information Systems Director/Primary Coordinator
- Associate Director, NET Program, Administrative Services Division
- Office of the General Counsel (OGC)
- Associate Director, Portfolio Management Office
- Recipient Subsystem Project Managers

The Agency shall provide the resources or access to the resources to support the Recipient Subsystem Phase II Project. If an identified resource is identified as being needed by the Vendor that resource may be scheduled and allocated by the Deputy Project Manager. This will be based on the Vendor's assessment and analysis needs and/or approved Project Plan and Schedule. Meetings and/or interviews with the Agency staff/subject matter experts (SMEs) or stakeholders shall be coordinated with and through the Recipient Subsystem Deputy Project Manager.

1.1.9 Recipient Subsystem Project Manager

The individual designated as the Recipient Subsystem Project Manager performs the following duties and tasks:

- Overall project management
- Assist in resolving and communicating questions or issues
- Coordinate stakeholder involvement with the Primary and Secondary Coordinators
- Coordinate the review and approval of Vendor deliverables
- Oversight for the RFP for the Recipient Subsystem Phase II Project
- Coordinate and assist the Primary Coordinator with the approval and payment initiations to the awarded Vendor based approved deliverables and incentive payments
- Coordinate RFP activities as needed with the Primary Coordinator, the Secondary Co-Coordinators, the MMIS Coordinator, and the Executive Steering Committee
- Act as the primary point of contact for the awarded Vendor, Medicaid staff, and stakeholders for activities related to this RFP
- Provide oversight to IV&V services in the project

1.1.10 Recipient Subsystem Deputy Project Manager

The individual designated as the Recipient Subsystem Deputy Project Manager performs the following duties and tasks:

- Project management of DDI Vendor
- Act as an intermediary between the Agency and the Vendor to coordinate activities
- Assist in resolving and communicating questions or issues
- Coordinate stakeholder involvement with the Primary and Secondary Coordinators
- Monitor the Vendor's performance to ensuring contractual requirements are met

- Coordinate the review and approval of Vendor deliverables
- Coordinate RFP activities as needed with the Primary Coordinator, the Secondary Co-Coordinators, the MMIS Coordinator, and the Executive Steering Committee
- Act as the primary point of contact for the awarded Vendor, Medicaid staff and stakeholders for activities related to this RFP
- Provide oversight to Quality Assurance services

The Deputy Project Manager for this project is:

Deputy Project Manager
Robert E. Lanzotti
Alabama Medicaid Agency
501 Dexter Avenue, Suite 8026
P. O. Box 5624
Montgomery, Alabama 36103-5624
Telephone: (334) 353-3203
FAX: (334) 242-0544
Email: robert.lanzotti@medicaid.alabama.gov

1.1.11 Project Co-Coordinators and MMIS Coordinator

In order to channel communication to the proper individuals, the Recipient Subsystem Project Manager will arrange for Contractor access to the project coordinators and MMIS coordinator. The Agency's Director of Information Systems Division is designated as the Primary Coordinator for this RFP. The Primary Coordinator shall perform the following RFP-related tasks and duties for all stages of this RFP:

- Assist the designated Recipient Subsystem Project Manager with resolving and communicating questions or issues to the awarded Vendor, Agency staff or other stakeholders
- Assist the designated Recipient Subsystem Project Manager with coordinating stakeholder involvement
- Act as an intermediary between Recipient Subsystem Project Manager and the awarded Vendor to coordinate IT stakeholder business processes, activities, and legacy system IT functionality
- Assist the designated Recipient Subsystem Project Manager with monitoring the awarded Vendor's performance to ensure contractual requirements are met
- Assist the designated Recipient Subsystem Project Manager with approving and initiating payment to the awarded Vendor based on approved deliverables and incentive payments
- Assist with the coordination of RFP activities as needed with the Secondary Co-Coordinators, the MMIS Coordinator, the Executive Steering Committee, or the Commissioner
- Assist with decisions on RFP terms and conditions or Agency policy as needed

- Act as a primary point of contact for the designated Recipient Subsystem Project Manager and the Awarded Vendor

The individuals designated as the Secondary Coordinators by this RFP shall perform the following duties and tasks:

- Assist the designated Recipient Subsystem Project Manager with resolving and communicating questions or issues related to the Beneficiary Services stakeholder's (staff and client) involvement, business processes, and legacy system functionality
- Assist the designated Recipient Subsystem Project Manager with monitoring the awarded Vendor's performance to ensure contractual requirements are met

The Agency's designated MMIS Coordinator under this RFP shall assist the Recipient Subsystem Project Manager in *coordinating MMIS and MITA related activities,* such as the following activities:

- Address HIPAA Privacy issues or questions
- Address interChange system issues or questions
- Ensure contractual requirements are met
- Review and approve the awarded Vendor's required deliverables prior to submission to the Executive Steering Committee for final approval

The Primary, Secondary Co-Coordinators, and MMIS Coordinator designated under this RFP are as follows:

Primary Coordinator
Terrell Flowers, Director
Information Systems Division
Alabama Medicaid Agency
501 Dexter Avenue, Suite 5018
P. O. Box 5624
Montgomery, Alabama 36103-5624
Telephone: (334) 242-5901
Fax: (334) 242-0544
Email: Terrell.Flowers@medicaid.alabama.gov

Secondary Co-Coordinators
Lee Rawlinson, Deputy Commissioner
Beneficiary Services
Alabama Medicaid Agency
501 Dexter Avenue, Suite 4030
P. O. Box 5624
Montgomery, Alabama 36103-5624
Telephone: (334) 242-5601
Fax: (334) 242-0556
Email: Lee.Rawlinson@medicaid.alabama.gov

Gretel Felton, Director
Certification Support

Alabama Medicaid Agency
501 Dexter Avenue, Suite 6054
P. O. Box 5624
Montgomery, Alabama 36103-5624
Telephone: (334) 242-1720
Fax: (334) 242-0566
Email: Gretel.Felton@medicaid.alabama.gov

MMIS Coordinator
Clay Gaddis, Associate Director
MMIS Coordinator/Privacy Officer
Alabama Medicaid Agency
501 Dexter Avenue, Suite 5032
P. O. Box 5624
Montgomery, Alabama 36103-5624
Telephone: (334) 242-5917
Fax: (334) 242-0544
Email: Clay.Gaddis@medicaid.alabama.gov

1.1.12 News Releases

News releases pertaining to this RFP shall not be made without prior written approval of the Agency.

1.1.13 Inquiries

From the date this RFP is issued until a Contractor is selected and the selection is announced by the Recipient Subsystem Project Manager, all communication must be directed to the Project Manager in charge of this solicitation. Unless otherwise noted, prospective Vendors may make written inquiries concerning this RFP to obtain clarification of requirements. Telephone or fax inquiries will not be accepted. No inquiries will be accepted after the deadline for questions as specified in the *Procurement Timetable in Section C above*. Send all inquiries to:

John Napier
Project Manager
Recipient Subsystem Modernization Project
Alabama Medicaid Agency
P. O. Box 5624
501 Dexter Avenue – Room 8026C
Montgomery, Alabama 36103-5624

We encourage the use of email.

Email Address: john.napier@medicaid.alabama.gov

Vendors shall mark envelope/email subject line “RFP #: 2011-RSMP-001Inquiry.”

Specific timelines for submitting questions and responses are identified in Table 1 procurement Timetable. Questions submitted prior to specified deadlines will be responded as quickly as possible within five work days[NF8].

Any attempt by a Vendor to contact any employee of the Alabama Medicaid Agency regarding this RFP prior to proposal award, other than as specified in this RFP, shall be deemed to be a violation of proposal requirements and shall result in the Vendor's proposal being rejected.

Vendors should not rely on verbal statements that alter any specifications or other terms or conditions of the RFP.

1.1.14 Mandatory Pre-Proposal Conference

A mandatory Pre-Proposal Conference will be held on the date and time specified in the *Procurement Timetable (refer to Section C above)*, at the Alabama Medicaid Agency 501 Dexter Avenue – Conference Room 8D Montgomery, Alabama. **Attendance at the Pre-Proposal Conference is mandatory for all Vendors who plan to submit proposals. A Vendor's failure to attend the Pre-Proposal Conference will cause their proposal to be rejected**. *Vendors who plan on attending the Pre-Proposal Conference must complete and return the Intent to Attend Pre-Proposal Conference Notification form found in Appendix A by the date listed in the Procurement Timetable (refer to Section C above).*

The Pre-Proposal Conference is intended to be an interactive exchange of information. Since impromptu questions shall be permitted and spontaneous answers may be provided, Vendors should clearly understand that oral answers given at the conference are not binding, but are good faith efforts to give correct useful information. No further questions will be permitted after the date specified in the *Procurement Timetable*. Final and binding answers to all questions whether submitted via email or asked at the Pre-Proposal Conference will be distributed to all conference attendees on the date specified in the *Procurement Timetable*. All answers to questions will be distributed by email to those Vendors in attendance of the Pre-Proposal Conference.

Answers to written questions received by the Recipient Subsystem Project Manager before the Pre-Proposal Conference by the deadline specified in the *Procurement Timetable* shall be distributed at the Pre-Proposal Conference. Prospective Vendors will be given time to review the written questions and answers during the Mandatory Pre-Proposal Conference. An opportunity will be given to ask questions to clarify any uncertainties that may exist.

1.1.15 State's Rights Reserved

While the State has every intention to award a contract as a result of this RFP, issuance of the RFP in no way constitutes a commitment by the State to award and execute a contract. Upon a determination such actions would be in its best interest, the State, in its sole discretion, reserves the right to:

- Cancel or terminate this RFP
- Reject any or all of the proposals submitted in response to this RFP
- Change its decision with respect to the selection and to select another proposal
- Waive any minor irregularity in an otherwise valid proposal which would not jeopardize the overall program and to award a contract on the basis of such a waiver (minor irregularities are those which will not have a significant adverse effect on overall project cost or performance)

- Negotiate with any Vendor whose proposal is within the competitive range with respect to technical plan and cost
- Adopt to its use all, or any part, of a Vendor's proposal and to use any idea or all ideas presented in a proposal
- Amend the RFP (amendments to the RFP will be made by written addendum issued by the State and will be posted on the RFP web site)
- Not award any contract

1.1.16 Agency Proposal Opening Rights, Proposal Questions, and Contacts

The Agency reserves the right to reject any proposals submitted in response to this RFP.

Subsequent to the opening of the sealed proposals, discussions may be conducted by the Agency and the Project Manager of the Recipient Subsystem Modernization Project with Vendors for the purpose of clarification to assure full understanding of and responsiveness to the solicitation requirements. Vendors shall be accorded fair and equal treatment with respect to any opportunity for discussion. In conducting any such discussions, there shall be no disclosure of any information derived from proposals submitted by competing Vendors.

Any questions regarding solicitation requirements for this RFP must be written and submitted by the designated due date and time specified in the *Procurement Timetable* to the Project Manager of the Recipient Subsystem Modernization Project at the address shown above. Questions will not be addressed over the telephone. Responses to Vendor's questions shall be made available to all Vendors attending the Mandatory Pre-Proposal Conference on the date and time designated in the *Procurement Timetable.*

1.1.17 Vendor's Submission

Proposals must be received on or before the deadline in the Procurement Timetable. Late proposals shall not be accepted. It is the responsibility of the Vendor to ensure that the proposal is received by the Recipient Subsystem Project Manager in accordance with the Procurement Timetable. The proposal, packaged in accordance with the Section 3, Vendor Response Format, shall be sent by mail to:

John Napier
Recipient Subsystem Project Manager
Alabama Medicaid Agency
P. O. Box 5624
501 Dexter Avenue – Room 8026C
Montgomery, Alabama 36103-5624

Or, the Proposal may be delivered to:

Alabama Medicaid Agency
501 Dexter Avenue
Montgomery, Alabama 36103-5624
Attention: John Napier – Room 8026C

The State of Alabama RFP Proposal Sheet must be signed in ink by the Vendor or other entity that is legally authorized to bind the Vendor to the proposal. ***The RFP Proposal Sheet must also be notarized***.

Proposals not meeting these requirements shall not be accepted.

The Agency desires and encourages that proposals be submitted on recycled paper, printed on both sides. While the appearance of proposals and professional presentation is important, the use of non-recyclable or non-recycled glossy paper is discouraged.

1.1.18 Addendum or Supplement to RFP

In the event that it becomes necessary to revise any part of this RFP before the mandatory Pre-Proposal conference, an addendum shall be provided to each Vendor who received the original RFP. In the event that it becomes necessary to revise any part of this RFP after the mandatory Pre-Proposal Conference, an addendum shall be provided to each Vendor who registered at the Pre-Proposal Conference.

1.1.19 Oral Presentations

The Agency reserves the right to request oral presentations during the Evaluation Phase. The purpose of the oral presentation is to allow for interchange between the Vendor, Agency staff and the Evaluation Committee. It shall be the Agency's option to determine the schedule and format for oral presentations/demonstrations. Vendors will be notified in advance of the time and location and selected items of any such presentations. Oral presentations are at the option of the Agency and not all Vendors may be requested to present[NF9].

The oral presentations and demonstrations will provide an opportunity to 1) provide an overview of the merits of the Proposal, 2) answer questions raised by evaluators in the course of reviewing the Proposals, and 3) assist the Evaluation Committee in verifying the capabilities and functionality of the proposed system. The Evaluation Committee shall have the opportunity to ask for clarification of information in the proposal. No written supplementation of the proposal will be permitted. Responsiveness will be determined on the written proposal.

During the oral presentations, Vendors shall not discuss the merits or qualifications of other Vendors. Failure to observe this proposal requirement shall result in the proposal being rejected as non-compliant.

The Agency may, at its discretion, establish such procedures and rules of conduct as it may deem appropriate, and may enforce such procedures and rules of conduct. Failure to observe these procedures and rules of conduct shall result in the proposal being rejected as non-compliant.

1.1.20 Acceptance of RFP Terms

A proposal submitted in response to this RFP shall constitute a binding proposal response. The provisions of this RFP and all attachments constitute contractual terms and conditions. These provisions, as amended, shall supersede any contradictory or inconsistent language in the successful Vendor's response. In the event of inconsistencies or contradictions between language contained in the RFP and a Vendor's response, the language contained in the RFP will prevail. Should the State issue addenda to the original RFP, then said addenda, being more

recently issued, would prevail against both the original RFP and the Vendor's proposal in the event of an inconsistency, ambiguity, or conflict.

A submission in response to this RFP acknowledges acceptance by the Vendor of all terms and conditions, including performance and compensation, as set forth in this RFP. The Vendor, by signing the proposal sheet (Appendix T), certifies that it accepts all of the terms and conditions, including performance and compensation of this RFP in full, without reservations, limitations, assumptions, restrictions, caveats, or any other type of qualification. A response that fails to comply with this condition shall be disqualified as nonresponsive. Further, any amendment to this RFP shall be signed and returned with the proposal or the proposal shall not be considered.

All proposals become the property of the State of Alabama, and may not be returned to the Vendor. Only proposals that conform to the requirements of this solicitation shall be acceptable. The State reserves the right to reject any or all proposals. There is no guarantee that a contract shall result from this solicitation. The State accepts no obligation for costs incurred by any Vendor in the preparation of a proposal in response to this RFP.

1.1.21 Offer in Effect for 90 Days

A proposal may not be modified, withdrawn or canceled by the Vendor for a 90-day period following the deadline for proposal submission as defined in the Procurement Timetable, or receipt of best and final offer, if required, and Vendor so agrees in submitting the proposal.

1.1.22 Confidential/Proprietary Information

Other than the proposal prices, all documents and other materials pertaining to the proposals shall be held confidential until issuance of award. After that time, pursuant to State law and Agency policies all original proposals together with all documents pertaining to the award of contract will be retained and made a part of the permanent file or records and shall be open to public inspection at the Alabama Medicaid Agency.

1.1.23 RFP Response Material Ownership

All material submitted regarding the RFP becomes the property of the State of Alabama.

Proposal responses may be reviewed by contacting the Alabama Medicaid Agency, Office of General Counsel after the notice of award letter has been issued by the Alabama Medicaid Agency. Because all material will be available to the public, no proposal will be accepted with pages marked “Proprietary” or “Confidential” or any other labeling suggesting that the material may not ultimately be made available to the public.

1.1.24 Proposal Prices

Vendor shall submit a firm and fixed price for the services described in the RFP. Vendor shall propose a price that reflects any business risk it perceives in the way the proposal specifications are stated. Vendor shall not anticipate nor rely on clarifications, discussions, redefinition, or further negotiations with the Agency after the contract award to adjust the price that is contained in its proposal for the work required by the RFP. Any efforts by a Vendor to limit, qualify, caveat, restrict, or place conditions upon the price being proposal shall be considered to be a violation of the firm and fixed price submission requirement and shall result in the proposal being rejected as non-responsive.

1.1.25 Selection of Proposal

After review of the Evaluation Committee's recommendation for award, the Commissioner of the Alabama Medicaid Agency shall make the decision on award of contract. After selection is made, the Alabama Medicaid Agency shall issue a notice of award to the successful Vendor. Contract execution is contingent upon CMS approval of the award and Legislative Contract Review Oversight Committee approval of the contract.

1.1.26 RFP Cancellation

The State reserves the right to cancel this RFP at any time, without penalty.

1.1.27 State Ownership of Contract Products/Services

All products/services produced in response to the contracts resulting from this RFP, including the executed contracts, RFP, and any amendments thereto, shall be the sole property of the Agency. Vendor's response to the RFP, the Agency's written responses to prospective Vendors' questions, and Vendor's clarifications as requested by the Agency during the evaluation process shall become contractual obligations.

1.1.28 Incurring Costs

The State of Alabama is not liable for any cost incurred by Vendors prior to issuance of a legally executed contract.

1.1.29 Parent Company

If a Vendor is owned and controlled by a parent company, the main office address and parent company's tax identification number (TIN) shall be provided in the proposal response.

1.1.30 Certification of Independent Price Determination

The following certifications must be provided by the Vendor:

1. By submission of this proposal each Vendor certifies and in the case of a joint proposal each party thereto certifies as to its own organization that in connection with this procurement the following:
    a. The prices in this proposal have been arrived at independently, without consultation, communication, or agreement, for the purpose of restricting competition as to any material relating to such prices with any other Vendor or with any Competitor.

b. Unless otherwise required by law, the prices which have been quoted in this RFP have not been knowingly disclosed by the Vendor and shall not knowingly be disclosed by the Vendor, directly or indirectly, to any other Vendor or to any competitor prior to opening.

c. No attempt has been made or shall be made by the Vendor to induce any other person or firm to submit or not to submit a proposal for the purpose of restricting competition.

2. Each person signing the proposal form certifies that:

a. He/she is the person in the Vendor's organization responsible within that organization for the decision as to the prices being offered herein and that he/she has not participated, and shall not participate, in any action contrary to 1(a) through 1(c) above.

b. He/she is not the person in the Vendor's organization for the decision as to the prices being offered herein but that he/she has been authorized in writing to act as agent for the person(s) responsible for such decision in certifying that such persons including said agents have not and shall not participate in any action contrary to 1(a) through 1(c) above.

1.1.31 Performance Bond

Please refer to Section 5 – General Terms and Conditions, Section 5.5.8 – Performance Bond.

1.1.32 Payment

The Agency will provide payment to the Vendor according to *Section 5 – General Terms and Conditions – Section 5.8 – Method of Payment and Invoicing.*

1.1.33 Public Opening of Proposal

A public opening of the proposal will be held as specified in the Procurement Timetable, at the Alabama Medicaid Agency, Montgomery, Alabama. A register of proposals consisting of the names and addresses of Vendors will be prepared and made available for public inspection.

1.1.34 Proposal Submission Requirements

Please refer to Section 3 – Vendor Response Format.

1.1.35 Granting of Contract

The contract awarded under this RFP will be made to the Vendor having the highest overall proposal evaluation score indicating value to the Medicaid Agency.

The Agency reserves the right to add provisions consistent with the successful Vendor's offer and to negotiate with the successful Vendor other additions to or deletions from, and/or changes in the language in the contract, provided that no such addition, deletion, or change in contract language shall alter the scope of work required and/or the evaluation criteria set forth herein. Additions to, deletions from and/or changes in language of the contracts shall not result in additional compensation over and above that proposal by the successful Vendor for the scope of

work specified in the RFP, the amendments thereto, the written answers to questions or any clarifications requested by the Vendor during the evaluation process.

Prior to finalization of award, the selected Vendor may be required to enter into discussions with the Alabama Medicaid Agency to resolve any contractual differences before an award is made. These discussions must be finalized and all exceptions resolved within ten working days of notification of award; if not, the proposal will be rejected and discussions initiated with the Vendor having the next highest proposal evaluation score.

1.1.36 Disclaimer

All statistical and fiscal information contained in the RFP and its exhibits, including amendments and modifications thereto, reflect the best and most accurate information available to the Agency at the time of RFP preparation. No inaccuracies in such data shall constitute a basis for an increase in payments to the Vendor a basis for delay in performance nor a basis for legal recovery of damages, either actual, consequential or punitive except to the extent that such inaccuracies are shown by clear and convincing evidence to be the result of intentional misrepresentation by the Agency.

1.1.37 Vendors Qualifications

The Vendor shall demonstrate that their company has the relevant experience providing the services defined in this RFP, and that the staff proposed for positions on this Project has the appropriate knowledge and experience obtained on Projects of similar nature, size, and scope. The Agency may require substitution/replacement of any key personnel assigned to the Project if it determines that person does not possess the skills necessary to satisfactorily complete the tasks assigned.

The successful Vendor shall have a minimum of five prior years experience in the delivery of services on projects involving the design, development and implementation of large systems. Experience preferably will be within the last five years, although earlier experience may be submitted if it demonstrates continuity of services over a broad span of years. The Vendor should also include in this section any experience with Federal requirements for Medicaid programs and/or Medicaid Management Information Systems (MMIS), or other Federal programs such as HIPAA, Food and Drug Administration (FDA), or related service areas.

Vendors must provide an assurance that they have the staff to produce the Project deliverables. The Vendor will provide an organizational chart and staffing plan of the individuals proposed to work on this Project and provide resumes as detailed in Section 2.5.

2 STATEMENT OF WORK

2.1 General Organization

2.1.1 Introduction

The following subsections list the Vendor and Alabama Medicaid Agency's basic facility and staffing requirements followed by a table of deliverables that shall be met and produced under this RFP. More detail regarding staffing and key positions is found in subsection 2.5 below. The Recipient Subsystem Change Control Board or its delegated representative must approve all

identified deliverables due under this RFP. Approved deliverables means that the deliverable is of acceptable quality and content, without any Medicaid reviewer recommended changes or unacceptable comments. The Recipient Subsystem Project Manager shall be responsible for recording, tracking, and marking the Medicaid accepted deliverables as "APPROVED." ***Medicaid shall pay the awarded Vendor for approved deliverables only.***

2.1.2 Deliverable Review Process

The complete process for the review of all Recipient Subsystem Phase II deliverables and documents will be developed at the beginning of the Project Management Phase and subject to change at the discretion of the Agency. In any event, the Vendor must deliver a draft template with an annotated table of contents that will reflect topics to be covered that will cover the acceptance criteria. The acceptance criteria will be defined prior to the draft template. All[NF10] deliverables submitted to the Agency from any and all Vendors must have, at a minimum, a cover letter outlining contents for delivery approval and a copy of the deliverables in electronic form, as directed by the Recipient Subsystem Project Manager.

On receipt of a deliverable, the Recipient Subsystem Project Manager will coordinate, manage, and monitor the review and comments by the IV&V consultant, if needed, and the Agency staff and will convene, as necessary, a review panel to review the deliverable. The Recipient Subsystem Project Manager may also request a walkthrough of any deliverable submitted by the Vendor.

The deliverable will be reviewed within 10 working days after the receipt date, which is not counted as one of the 10 days, unless otherwise determined by the Recipient Subsystem Project Manager**. Additional review time may be required at the discretion of the Recipient Subsystem Project Manager, who will notify all impacted Vendors.** If the deliverable is determined to be in need of modification, the Recipient Subsystem Project Manager will send written notification to the Vendor outlining the changes and reason(s) for the changes. The Vendor will make the corrections within 10 working days and resubmit the deliverable to the Recipient Subsystem Project Manager for final review.

Once all comments have been incorporated and the deliverable meets readiness for use and compliance with content requirements, the deliverable will be submitted to the Agency for formal acceptance and written approval. An acceptance letter, signed by the Agency, will be submitted to the Vendor through the Recipient Subsystem Project Manager.

Please note that Medicaid reserves the right to negotiate with the Vendor to reasonably change the deliverable due dates or timeframes as appropriate to assure timely completion of the engagement without any changes in the Vendor's contracted bid prices.

2.1.3 Deliverable Acceptance Criteria

The following criteria will be used by the Agency to determine acceptance of the services and/or deliverables provided by the Vendor under this RFP:

- Project plans to be executed according to a standard dictated by the Recipient Subsystem Deputy Project Manager

- Deliverables document the validity of the requested development process relative to current industry standards
- Documentation and deliverables conform to the acceptance criteria specified for each of the activities and tasks in Section 2.3 and the acceptance and adequacy standards dictated by the Recipient Subsystem Deputy Project Manager
- All required documentation, as specified by the Recipient Subsystem Deputy Project Manager, will be delivered within mutually agreed-upon timeframes
- All required documentation will meet minimum standards for quality as specified by the Recipient Subsystem Deputy Project Manager

2.1.4 Medicaid Provided Facility and Equipment Requirements

State-provided facility space and equipment is limited. While the State of Alabama is capable of accommodating a limited number of Vendor staff as explained below, the State is unable to support a large Vendor presence onsite. The State will provide a limited number of computers to allow the awarded Vendor access to State email and SharePoint inside the firewall. The awarded Vendor will not be able to access the system offsite or remotely. The awarded Vendor is encouraged to provide fully functioning local facilities for Vendor staff and any subcontractors. In their proposal, the Vendor should include their approach to maximize delivery and involvement given the limited onsite facilities and equipment.

Medicaid shall provide the following items at the Alabama Medicaid Agency Central Office located at 501 Dexter Avenue, Montgomery AL 36103 (Medicaid Central Office) for a limited number of Vendor staff, jointly agreed to by the Vendor and the Medicaid Agency:

- Office space (cubicles or offices)
- Basic office supplies
- Building access cardkeys
- Medicaid identification (ID) badges
- Medicaid issued personal computers (PCs) or laptops with Medicaid's current standard operating system (OS)
- Network and/or desktop printer access
- Medicaid copying and scanning equipment
- MS Office Suite (Medicaid Microsoft Office Suite preference on Medicaid personal computers only)
- Current and active virus software (on Medicaid owned personal computers only)
- Limited number of Microsoft Project Licenses (Medicaid's Microsoft Project software release preference, currently Microsoft Project 2007 – on Medicaid personal computers only)
- Microsoft Visual Studio 2008 (Vendor must specify number of licenses for State computers only)
- Vendor's onsite staff access to the Agency's MS Team Foundation Server
- Internet access

- Medicaid network connectivity
- Medicaid network user IDs
- Medicaid email software
- Medicaid email account for each onsite, designated Vendor employee with network issued computer/laptop
- Access to specified Medicaid network drives
- Vendor's laptops, tablets, or other electronic equipment shall not be connected to Medicaid's network until approved by Medicaid's Associate Director of Network and Systems Support. Approval for Medicaid network connectivity shall be based on the Vendor's device passing Medicaid's Laptop Technical Checklist and certified by Medicaid's Network and Systems Support Staff. (See Appendix G for the Sample Computer Acceptable Use Agreement form).
- Vendor's CDs, Digital Video Disc (DVDs), Flash/Thumb drives, internal or external hard drives, or other portable magnetic storage media must be scanned by Medicaid's Network and Systems Support staff or the Vendor's current and active virus software prior to connecting or inserting the devices or media in devices that are connected to Medicaid's network. (The Vendor's staff is restricted from transporting electronic storage media containing State owned or maintained data or other project information without written authorization from the Recipient Subsystem Project Manager and the HIPAA Privacy and Security Officers. Any offsite transport of Medicaid data or project information that is approved by the designated Medicaid authority must be stored on a securable electronic media device with proper encryption and password protection of the data or information to prevent unauthorized access).
- Office desks and chairs
- Office telephones
- Meeting rooms (must be reserved in advance by the Vendor using Medicaid's resource scheduling in Microsoft Outlook)
- Medicaid loaner data projectors and laptop personal computers (must be reserved in advance by the Vendor using Medicaid's resource scheduling in Microsoft Outlook and checked out through the Director of Information Systems Office)
- Fax machines or services may be provided if approved by the Deputy Commissioner in charge of Administrative Services

The software applications listed below comprise Medicaid's office automation standards. The project team in connection with this effort will use, in addition to SharePoint, the following applications:

- Microsoft Windows (XP Professional/Windows 7 (32 bit) (other operating systems must be approved)
- Microsoft Office Professional 2007 or other release (must be approved)
- Microsoft Project Professional 2007 or other release (must be approved)
- Microsoft Internet Explorer 6.0 (minimum), 7.0, or 8.0 (if currently adopted by Medicaid)

- Microsoft Structured Query Language (SQL) Server 2005
- Microsoft Forefront Client Security Agent
- Microsoft Windows Server 2003 (minimum)
- Microsoft Information Internet Server (IIS) 6.0 (minimum)

Should Vendors wish to add to or modify this list, with for instance, computer aided software engineering tools, or other project related software items they may make such recommendations in their proposal.

2.1.5 Vendor's Facility and Equipment Requirements

The Vendor shall be required to provide all necessary office space, equipment, and supplies to Vendor's support staff allocated to meet the contractual obligations of this RFP that are not assigned to work onsite at the Medicaid Central Office. These facilities, equipment, and supplies that the Vendor provides for their staff are provided at the Vendor's expense and ***are not*** expenses chargeable to Medicaid as part of this RFP. It is desired by the Agency that the Vendor have some local presence in regards to office space but does not prohibit offsite personnel that are not considered to be key personnel.

2.1.6 Project Organization

A major factor in the success of the Project is the degree of collaboration between the Design, Development and Implementation (DDI) Vendor and the Project Management. In recognition of this, the Agency has established a governance system consisting of an Executive Steering Committee, a Project Manager level Change Control Board for overall project change control, and a Deputy Project Manager level Change Control Board to govern the development effort of the DDI Vendor. The Deputy Project Manager CCB will be comprised of the Deputy PM, DDI PM and QA representative. This CCB meets informally on a daily basis to make decisions regarding the DDI project. They will also meet formally on a weekly basis to document change requests, decisions, etc. Information from these weekly meetings will be incorporated into the Recipient Subsystem Project level CCB meetings. Decisions that cannot be made at the DPM CCB level will be escalated to the project manager level board[NF11].

Agency staff will participate directly in project management, requirements validation, design, development, testing, implementation, and certification activities of the new system. Additionally, the Agency has established the appropriate levels of management oversight to monitor project progress and assess Vendor performance for each project phase.

The DDI Vendor will be managed by, and report directly to, the Recipient Subsystem Deputy Project Manager. A Change Control Board will be provided at this level to perform the DDI project governance.

The DDI Vendor will support the IV&V vendor in their objective verification and validation activities. The IV&V vendor will have access to all deliverables and visibility into the DDI vendor's processes to produce those deliverables, including on-site visits to DDI Vendor[NF12].

The Project Change Control Board is comprised of the four Project Coordinators (Primary, Secondary, and MITA) from the Executive Steering Committee along with the Director of Program Integrity, the Director of Project Management Office (PMO) and the Recipient

Subsystem Project Manager. It is charged with the governance of the project in the following areas:

- Change Management
- Risk Management
- Issue Management
- Action Item Management

2.1.6.1 IV&V and QA

Section 1.1.9 lists the responsibilities of the Recipient Subsystem Project Manager related to this RFP contract. In addition to the Recipient Subsystem Phase II DDI project, the Recipient Subsystem Project Manager will also be directing tasks associated with the Independent Verification & Validation (IV&V)/QA contract, and will be responsible for approving or coordinating the approval of all deliverables associated with that contract.

The most significant contribution expected of the IV&V consultant is performing project oversight and acting in the role of a contract monitor to oversee the contractual obligations, performance, and compliance of the proposer awarded the RFP for the modernization of the Recipient Subsystem. The Agency views the function of IV&V as literally independent, and not a part of production. IV&V will be able to sample, review and critique all parts of the Vendor's production activities and the Agency's oversight of those activities. IV&V reports of project status, risks, and performance will be delivered to all project stakeholders by the Agency Project Manager.

The most significant contribution expected of the QA Consultant will be to supplement State personnel during the Phase II development effort for the purpose of validating assumptions, providing implementation guidance, and assisting Medicaid Agency representatives with the testing effort when needed throughout the development lifecycle. The final outcome for QA will be certification of the system by the CMS. The Agency views the QA function as potentially part of, or close to production. QA may support testing as a representative of the Agency in the evaluation of Vendor production, or perform functions such as routine reviews of products.

Figure 4 illustrates the Recipient Subsystem Phase II Project organization.

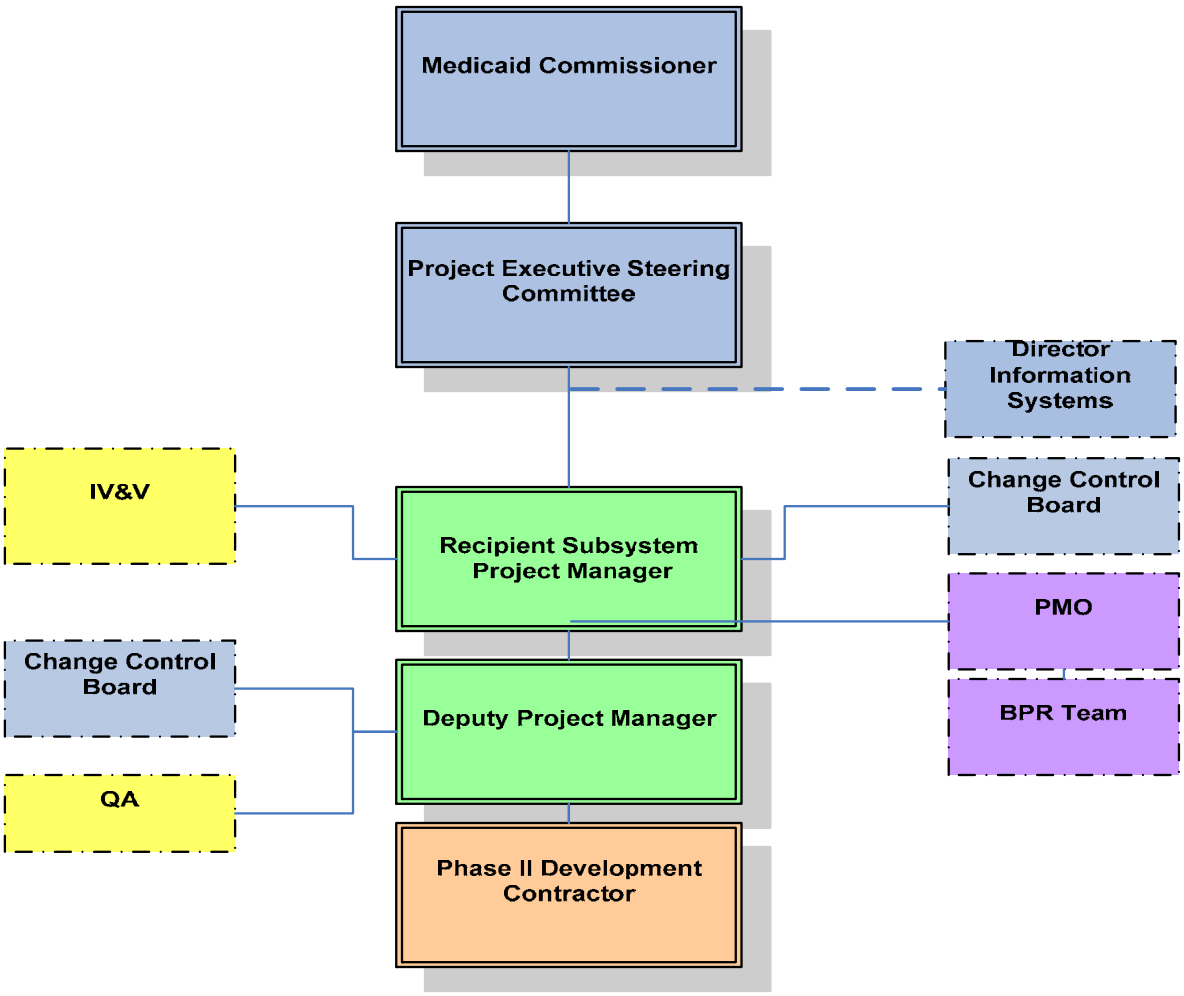


Figure 4: Recipient Subsystem Re-engineering and Redesign Phase II Project Organization

2.2 General Scope of Work

2.2.1 Agency Approach to Development

The Agency is faced with the challenge of modernizing its operations in Beneficiary Services (Elderly & Disabled, Family Certification, and Certification Support), Third Party Liability, Program Integrity and Non-Emergency Transportation. It views this modernization effort

holistically, as a system-of-systems involving software, hardware, people and processes oriented on achieving its business needs and the service delivery mission of the Agency. The Agency expects the Vendor to regard this development effort in the same way – as a completely integrated, seamless delivery fully addressing its core needs as expressed in its requirements.

The Agency recognizes the broad and diverse nature of its Recipient Subsystem, and the complicating impact that the new technology which is being introduced brings to the development effort. Much of the development will involve low risk workflow and web page development. Some, however, will involve high risk development of critically reliable or structurally significant components. The Agency wishes to benefit from an iterative or agile based development approach focused on the delivery of working components generally, while retaining the ability to address high risk items with a greater level of process discipline when needed. It needs a quality assurance and testing approach that exhibits the same range of rigor in addressing risk. The Agency requires from the developer a system development lifecycle which can accommodate all these needs while balancing agility and traditional process discipline.

Development Lifecycle

The Agency wishes to allow each potential developer to bring to this development effort its industry-best-practice system development methodologies and tailor them to the Agency's needs. To encourage this and to foster the adoption of an integrated development approach, the Agency wishes to rely on an evaluation of proposal methodologies to see how the deliverables and practices of these methodologies meet industry standard system and software engineering principles. The Agency believes industry standard lifecycle principles can be found in any development approach. It hopes that by adopting this approach, it will encourage innovation and agility while preserving its desired development outcomes. Within the lifecycle, the Agency encourages vendors to identify items of risk and introduce them as early as possible. The 'risk forward' approach may involve development or prototyping of high risk items as soon as the project starts.

Use of Agency Level Control Milestones

To accommodate the flexibility of this approach, the Agency will establish its own set of minimal overall project high-level control milestones or anchor points. Within the time periods between these milestones, the Agency will expect the Vendor to define the key deliverables and Agency delivery acceptance points.

The Agency expects the developer to decompose the Recipient Subsystem into successively subordinate subsystems until features or components are identified. Each component, or group of components, is expected to be developed following a lifecycle which addresses for each feature being developed its requirements validation, design/build, unit and integration testing, quality assurance and Agency acceptance. Typically these features will be grouped into successive iterations, builds or releases.

Over time, it is expected that the level of integration testing will increase with iterations, until whole subsystems are tested. System testing will verify that system requirements have been satisfied. User Acceptance Testing of the entire Recipient Subsystem will validate that the expectations of the Agency for the Recipient Subsystem have been met.

The developer will create a System Implementation Plan deliverable which, when implemented, will deploy the system in an optimal fashion. The system will operate for six months and then be certified by CMS.

2.2.2 Agency Development Activity Major Milestones

The following sections detail the major development tasks expected to be accomplished. These tasks are considered not to necessarily be waterfall lifecycle phases, but rather generic statements of work that in many cases can be accomplished within successive iterations. The term 'Anchor Point' is used because these control points will apply regardless of the development approach adopted. The vendor will place these control points into its schedule and incorporate them into its life cycle proposal.

2.2.2.1 Anchor Points/Milestones

Proposal Award

The Agency selection of a winning proposal which addresses both the requirements of this RFP and the associated Recipient Subsystem Requirements Specification constitutes the first Vendor-related development milestone. The winning proposal will address as much of the criteria of the Preliminary Design Review Anchor Point defined below as possible with the information available prior to contract award. Contract award will signify Agency approval to proceed to the next development milestone, Preliminary Design Review. After the winning Vendor arrives, a short period of requirements validation will occur. It is expected that Vendor architectural concepts may be modified as the result of a deeper understanding of Agency needs and environment.

Preliminary Design Review Anchor Point

The Preliminary Design Review is a major Agency control milestone for the project which is intended to address the Recipient Subsystem's Lifecycle Objectives. For at least one feasible proposed architecture solution, this milestone should establish that core operational concepts will be supported and core requirements will be satisfied. If a prototype is used, the approach is faithful to the prototype. The system must be buildable within the budgets and schedules established by the Agency and demonstrate a viable business case. As the result of this milestone, key Agency stakeholders commit to support continuing to the next major milestone, Detailed Design Review, which addresses Lifecycle Architecture.

At this milestone, the following has been accomplished:

1. The top-level scope and system objectives are defined and understood. The system boundary and environmental parameters have been established. Concepts and scenarios for operations and maintenance are defined. Organizational lifecycle responsibilities for Stakeholders are agreed to. Concepts that offer new capabilities, enhanced overall performance or reduced stakeholders total ownership costs of the system lifecycle are identified.

2. Key usage scenarios are validated and can be exercised through prototyping or simulation. Critical conceptual risks are identified and resolved.

3. An assessment of feasible system concepts and solutions is made, including enabling systems throughout the lifecycle, to determine satisfaction with both business and technical stakeholder objectives. This can be done through analysis, measurements, prototyping, simulation, etc. Business objectives are analyzed for requirements and feasible architectures.

4. Top-level functions, interfaces, quality attribute levels are defined, including system growth and priorities, prototypes, and stakeholder concurrence on essentials. The preparation and base-lining of stakeholder requirements and preliminary system requirements (technical specifications for selected system and usability specifications for the envisioned human-system interface). The identification and initial specification of the services needed from enabling systems throughout the lifecycle is accomplished.

5. The top-level definition of at least one feasible architecture is determined, including physical and logical relationships, choices of COTS and reusable software elements, and the identification of infeasible architecture options.

6. Lifecycle stakeholders are identified, including users, developers, maintainers, operators, public and others. The top level lifecycle process model stages and increments are identified. Concepts of execution for each stage are identified and refined.

7. Risks are identified and assessed. Mitigation plans are established for subsequent phases of the lifecycle.

8. Plans and exit criteria for the Development Phase are defined and agreed to.

9. The Agency agrees that satisfaction of the criteria for this phase have been accomplished and approves continuing to the next major anchor point.

Detailed Design Review Anchor Point

The Detailed Design Review is a major Agency control milestone for the project which is intended to address the Recipient Subsystem's Lifecycle Architecture. This milestone is intended to demonstrate that for at least one architecture, the elaborated operational concept and system requirements are supported. The development is faithful to the prototype. The system is buildable within the budgets and schedules established by the Agency. All major risks have been resolved or covered by a risk management plan. Key stakeholders are committed to support the full lifecycle. The initial operational requirements can be implemented. System operation and support plans have been prepared. Implementation planning has occurred to assure that site preparation and system transition will be successful. Plans for users, operators and maintainers to be trained and assume their roles exist. As the result of this milestone, key Agency stakeholders commit to support continuing to the next major milestone, the Operational Readiness Review, which addresses the system's Initial Operational Capability.

At this milestone, the following has been accomplished:

1. The system's objectives and operational concepts have been incrementally elaborated. System requirements, budget and schedule baselines and lifecycle ownership estimates have been evaluated and refined.

2. A prototype or partial system is built.

3. Top level functions, interfaces, quality attributes and prototypes have been incrementally elaborated. Items not yet addressed are identified. Stakeholder concurrence on priority concerns is accomplished. Requirements for enabling systems are refined and base lined. It is confirmed that the system meets all stakeholder and system requirements and is producible, operable, supportable, and is cost effective for stakeholders.

4. The system and software architecture has been incrementally elaborated. A system architecture comprised of hardware elements, software elements and humans and their interfaces (internal and external) exists. Physical and logical components, connectors, configurations and constraints are identified. COTS and reuse choices are made. Domain architecture and architectural styles are determined. Architectural evolution parameters are defined. Technical information exists, including but not limited to:
    a. Hardware diagrams and models.
    b. Software design documentation.
    c. Interface specifications.
    d. Production plans.
    e. Operating instructions.
    f. Training manuals.
    g. Maintenance procedures.
    h. Retirement considerations.
    i. Definition of the enabling services required in subsequent lifecycle stages.

5. Consistency is assured and has been verified and validated among all elements. Major risks are resolved or covered by a risk management plan. Current risks are identified and mitigated.

6. Exit criteria for this stage have been satisfied. Plans and exit criteria for the next stage are approved.

7. Approval is obtained to proceed to the next phase.

Implementation Readiness Anchor Point

The Implementation Readiness Anchor Point or control milestone is the Initial Operating Capability (IOC) of the system. It will be used to determine when the entire system is operationally capable. This milestone will occur prior to the system being deployed operationally as a pilot. The Agency will expect a phased implementation of the overall system, culminating with an Operational Readiness Review. The IOC will reflect the earliest time at which the system is operational, not the time at which it has assumed processing responsibility for the entire Agency.

The key elements of the IOC Milestone or anchor point for the project are that the software preparation, including both operational and support with appropriate documentation; data preparation or conversion; the necessary licenses and rights for COTS or reusable software, and appropriate qualification testing is satisfactorily complete. The site preparation, including facilities, equipment, supplies, and COTS Vendor support arrangements are ready. The user, operator, and maintainer preparation (including selection, teambuilding, training and qualification for familiarization, usage, operations or maintenance) has been completed and the system is ready for operation.

At this milestone, as a minimum, the following will have been accomplished:

1. The system capability will be qualified through testing.

2. Resources, material, services and system elements have been acquired to support production.

3. System outcomes are produced according to approved and qualified production information.

4. Concepts for execution of all succeeding lifecycle stages are updated.

5. Current risks and mitigating actions are identified.

6. Experienced personnel with the competence to be operators in the system and provide operational services exist.

7. Trained personnel exist who will maintain and provide support services.

8. Organizational interfaces between the operating and production organization exist that ensure problem resolution and corrective actions.

9. System products and services are ready to be maintained through support services, including logistics to operational sites.

10. All required logistical support, including spare parts inventory capable of satisfying operational availability goals exist.

11. The system is installed and is capable of being operated and of providing sustainable operational services.

12. The system is ready to be maintained and to correct design deficiencies as they are identified.

13. The system has been installed so as to allow the collection of performance and cost monitoring and assessment to confirm conformance to service objectives.

14. The system has been installed so as to facilitate the identification of problems or deficiencies, informing appropriate organizations (user, development, production or support) of the need for corrective action.

15. The system has been installed so as to facilitate system enhancement through stakeholder feedback.

16. End of stage exit criteria have been satisfied.

17. Approval is granted to proceed to the Operations and Maintenance stages.

Operational Readiness Review (ORR) (Go-Live) Milestone

The Operational Readiness Review (ORR) will be considered the system 'Go Live' point. All of the Implementation Readiness Anchor Point criteria, updated as necessary for the pilot experience, will be applied to this milestone.

CMS Certification Milestone

The CMS Certification Milestone will occur after six months of system operation, and will serve as a CMS post-implementation review. The criteria for the Certification are identified in the CMS Enterprise Certification Toolkit (https://www.cms.gov/MMIS/09_MECT.asp). At this time, the Agency expects this certification to be accomplished by means of the checklists in the Toolkit rather than an onsite CMS assessment.

2.3 Project Lifecycle Activities

The Alabama Recipient Subsystem project has been divided into 30 major Lifecycle Activities. The Activity name and a high level overview of the activity are explained in the following Table 5. Further details regarding the tasks and deliverables for each of the activities listed in the following Table 5, Project Activities are found in Subsection 2.4. The Medicaid Agency requires that the development and delivery of the Recipient Subsystem will be accomplished in the most effective way possible, so long as that development and delivery conforms to recognized underlying system and software engineering industry principles and standards. Those principles have been grouped into the activities listed below. These activities describe the objectives, descriptions and expected outcomes of each. The Agency expects Vendor deliverables to be the result of these activities even when they are not explicitly identified as individual deliverables in this contract. The Agency reserves the right to verify and validate selected activities independently. When a determination is made that deliverables are being produced without conformance to the underlying principles defined below, the Agency may consider the level of risk in the delivery to be unacceptable until the Vendor can demonstrate that these activity principles have been incorporated into the Vendor's delivery system.

Table 5: Project Activities

No.	Activity	Description	Due
1	Project Planning	The Project Planning activity includes preparation of a kick-off presentation, final project plan, tasks and deliverables for reporting, configuration management, and change control for requirements.	Four weeks from project initiation Note: Initial Project Plan is due with proposal – refer to Section 3.2.2.10
2	Project Assessment & Control	The Project Assessment and Control activity is the validation of conformance to the project to the plans, tasks, and schedule. It is also to support process improvement.	To Be Determined (TBD) by project plan
3	Decision Management	The Decision Management activity is the process to select the most beneficial course of project action.	TBD by project plan
4	Risk Management	This activity is a continuous process to identify, analyze, treat and monitor risks to the project.	TBD by project plan
5	Configuration Management	The Configuration Management activity establishes and maintains the integrity of all identified outputs of a project or process	TBD by project plan
6	Requirements Analysis & Management	This activity includes the tasks of requirements documentation, validation and traceability.	TBD by project plan
7	Conceptual Architectural Design	This activity includes the tasks of preliminary rules and workflows, methodology for conceptual design, the specifications for the conceptual architectural design, and a gap analysis that documents the gaps between current practice and future vision of Recipient Subsystem.	TBD by project plan
8	Detail Design	The detail design activities include finalization of requirements and specifications for all system objects, such as programs, screens, business rules, interfaces, reports, templates, and forms.	TBD by project plan
9	Security	The security activities address how the system data will be protected, accessed, and in compliance with law, standards, and best practices.	TBD by project plan
10	Continuity of Operations	TBD: May want to use what the Agency currently has as their own plan	TBD by project plan
11	Training & Knowledge Management	The end user training activities include developing and delivering training necessary to ensure effective use and reliable operation of the new Recipient Subsystem. It also involves specialized training for Agency Help Desk. The technical training activities ensure that sufficient members of the State receive hands-on training and classroom training to maintain	TBD by project plan

No.	Activity	Description	Due
		and enhance the new Recipient Subsystem during and after the Warranty Period.	
12	Organization Change Management	This activity coordinates the transition from the current to the future business processes and organizational structure while managing stakeholder expectations. It incorporates effective communication so that all stakeholders are kept apprised of the changes that will impact their way of doing business.	TBD by project plan
13	Data Conversion	The Conversion and migration activity includes tasks for planning, coding, and executing the conversion and migration processes and a plan to clean up the data prior to conversion and migration.	TBD by project plan
14	Development	The Development activities result in the construction of the system and the project's development library.	TBD by project plan
15	System Integration	The System Integration activities will begin the process of bringing together component subsystems and ensuring that those subsystems function as a whole.	TBD by project plan
16	System Implementation	.This activity results in a tested and operational Recipient Subsystem being put into production with minimal disruption to applicant/beneficiaries.	TBD by project plan
17	Testing	The testing activities ensure the operations and hardware/software and telecommunications aspects of the new Recipient Subsystem are functioning as designed.	TBD by project plan
18	Quality Assurance	The Quality Assurance activities includes tasks for planning and executing a methodology for the Vendor to ensure internally that standards, processes and products are in compliance.	TBD by project plan
19	Software Verification	The purpose of the Software Verification process is to confirm that each software work product and/or service of the process or project properly reflects the specified requirements.	TBD by project plan
20	Software Validation	The purpose of the Software Validation process is to confirm that the requirements for specific intended use of the software work product are fulfilled.	TBD by project plan
21	Software Reviews	The purpose of the Software Review Process is to maintain a common understanding with the stakeholders of the progress against objectives of the agreement and what should be done to help ensure the development of a product that satisfies the stakeholders.	TBD by project plan
22	Software Problem Resolution Process	The purpose of the Software Problem Resolution process is to ensure that all discovered problems are identified, analyzed, managed and controlled to resolution.	TBD by project plan

No.	Activity	Description	Due
23	Software Audits	The purpose of the Software Audit process is to independently determine compliance of selected products and processes with the requirements, plans and agreements, as appropriate.	TBD by project plan
24	Software Acceptance	These activities provide Help Desk Support during Pilot and implementation including creation of the plan to integrate state and Vendor staff and a help desk procedures manual. The Pilot activity includes sample county (ies) and/or offices that will participate in the initial implementation. The Pilot will be considered the final validation stage prior to a full statewide rollout. These activities ensure a tested and operational system is put into production with minimal disruption to client and provider services.	TBD by project plan
25	User Acceptance Testing	This activity implements a vigorous User Acceptance Testing (UAT) process in order to put into production a tested and operational Recipient Subsystem with minimal disruption to applicant/beneficiaries and State personnel.	TBD by project plan
26	Software Implementation	The purpose of the Software Implementation process is to produce a specified system element implemented as a software product or service.	TBD by project plan
27	Transition and Maintenance	The Transition and Maintenance activities ensure that operational support and continuing maintenance of the new Recipient Subsystem is successfully transitioned to the State.	TBD by project plan
28	Document Management	The purpose of the software Documentation Management process is to develop and maintain the recorded software information produced by process.	TBD by project plan
29	Operations	The purpose of the software Operation processes to operate the software product in its intended environment and to provide support to the Agency of the software product.	TBD by project plan
30	Federal Review and Certification	The Federal Review and Certification activities include assisting the State in preparing for and conducting the Federal Review in order to determine if the Recipient Subsystem is federally compliant.	TBD by project plan

2.4 Work Activities, Tasks, and Deliverables

As explained in 2.3 above, this project consists of many activities and for each activity there are several tasks that need to be performed or completed by the selected Vendor. These tasks are considered to be deliverables and the two words may be used interchangeably. A summary of the activities and related tasks to be completed appears in Table 6.

These tasks will be the basis against which the Vendor's performance will be measured. For the purpose of preparing proposals, Vendors should plan that the system will be ready for Pilot approximately a year before receiving CMS certification. The hardware must be installed and fully operational by the dates specified in the State approved Project Plan.

Each task listed in the table below is a requirement that must be addressed in the Vendor's proposal. Please note that a comprehensive initial Project Work Plan is a major required component for responding to this section of the RFP.

The following table, Table 6 Project Tasks and Deliverables lists those tasks and deliverables that will be required by the DDI Vendor.

Table 6: Project Tasks and Deliverables

Activities	Tasks
Project Planning	1.1: Project Plan V1
Project Planning	1.2: Quarterly Project Plan
Project Assessment & Control	2.1: Monthly Project Status Reports
Project Assessment & Control	2.2: Corrective Action Plan
Decision Management	No associated deliverable
Risk Management	4.1:Risk Management Plan
Risk Management	4.2: Lessons Learned
Configuration Management	5.1: Configuration Management Plan
Requirements Analysis & Management	6.1: Requirements Documentation
Requirements Analysis & Management	6.2: Requirements Validation and Traceability Plan
Requirements Analysis & Management	6.3 Requirement Change Control Plan
Requirements Analysis & Management	6.4 Requirements Traceability Matrix[NF13]
Conceptual Architectural Design	7.1: Conceptual Architectural Design Methodology and Session Plan
Conceptual Architectural Design	7.2: Conceptual Architectural System Design
Conceptual Architectural Design	7.3: Business Rules
Conceptual Architectural Design	7.4: Workflow Plan[NF14]
Detail Design	8.1: Detail System Design Session Plan
Detail Design	8.2: Detail System Design Document (DSD)
Detail Design	8.3: Business Rules Design
Detail Design	8.4: Interface Detail Design
Detail Design	8.5: Forms, Notifications and Templates
Detail Design	8.6: Alerts Detail Design
Detail Design	8.7: Reports Detail Design
Security	9.1: Security Design Document
Security	9.2: User Access Security Plan
Continuity of Operations	10.1: Disaster Recovery Plan
Training and Knowledge Management	11.1: Training Strategy
Training and Knowledge Management	11.2: Comprehensive Training Plan
Training and Knowledge	11.3: End User Training Environment(s)

Activities	Tasks
Management	
Training and Knowledge Management	11.4: Training Materials V1 and *V2
Training and Knowledge Management	11.5: Online User Aids
Training and Knowledge Management	11.6: Training and Progress Report
Training and Knowledge Management	11.7: Training Final Report
Training and Knowledge Management	11.8: Project Staff Training Plan
Organization Change Management	12.1 Comprehensive Change Management and Communication Plan
Data Conversion	13.1: Data Conversion and Migration Strategy
Data Conversion	13.2: Data Conversion and Migration Plan
Data Conversion	13.3: Data Cleanup Plan
Data Conversion	13.4: Data Conversion and Migration Results
Development	14.1: Software Development Plan
Development	14.2: Weekly Construction Summary Report
Development	14.3: Development Library
System Integration	15.1: System Integration Strategy
System Integration	15.2: System Integration Plan
System Implementation	16.1: Hardware and Software Plan
System Implementation	16.2: Hardware and Software Delivery
System Implementation	16.3: Pilot Implementation Plan
System Implementation	16.4: Pilot Support and Operations Plan
System Implementation	16.5: Pilot Test and Analysis
System Implementation	16.6:Statewide Implementation Plan
System Implementation	16.7: Network & Desktop and Production Requirements
System Implementation	16.8: Final Readiness Assessment
Testing	17.1: Master Test Plan
Testing	17.2: Unit and Integration Test Plan and Documentation
Testing	17.3: System Test Plan
Testing	17.4: Interface Test Plan
Testing	17.5: Performance, Volume and Stress Test Plan
Testing	17.6: Conversion and Migration Test Plan
Testing	17.7: System Test Scripts
Testing	17.8: Testing Results Weekly Report
Testing	17.9: Conversion and Migration Weekly Test Results Report
Testing	17.10: Performance Monitoring Plan and Weekly Report
Testing	17.11: Operational Readiness Report
Quality Assurance	18.1: Quality Assurance Plan
Quality Assurance	18.2: Quality Assurance Review
Software Verification	No associated deliverable

Activities	Tasks
Software Validation	No associated deliverable
Software Reviews	No associated deliverable
Software Problem Resolution Process	22.1: Software Resolution Plan
Software Audits	No associated deliverable
Software Acceptance	No associated deliverable
User Acceptance Testing	25.1: UAT Test Environment and Tools
User Acceptance Testing	25.2: Weekly UAT Status Reports
User Acceptance Testing	25.3: Operational Readiness Report
Software Implementation	No associated deliverable
Transition and Maintenance	27.1: Transition Plan
Transition and Maintenance	27.2: Post-Implementation Evaluations
Transition and Maintenance	27.3: System Updated Documentation
Documentation Management	28.1: Document Management Plan
Operations	29.1: Operating Procedures
Operations	29.2: Help Desk Transition Plan
Operations	29.3: Help Desk Plan
Operations	29.4: Help Desk Procedures Manual
Federal Review and Certification	30.1: Assist with Federal Review

2.4.1 Activity 1: Project Planning

Objective

Ensure that the Recipient Subsystem meets Alabama's specific requirements within a reasonable time and budget. The purpose of the project planning activity is to describe the expected Vendor process to produce and communicate effective and workable project plans.

Description

This process determines the scope of the project management and technical activities, identifies process outputs, project tasks and deliverables, establishes schedules for project task conduct, including achievement criteria, and required resources to accomplish project tasks.

As a result of successful implementation of the project planning process:

- The scope of the work of the project is defined
- The feasibility of achieving the goals of the project with available resources and constraints is evaluated
- The tasks and resources necessary to complete the work are sized and estimated
- Interfaces between elements in the project, and with other project and organizational units, are defined
- Plans for the execution of the project are developed
- Plans for the execution of the project are activated

The project planning activity is designed to ensure that the project progresses according to the approved detailed Project Plan. The project management activity spans the duration of the project and the Project Plan is the primary control element of the project. Once the Project Plan is approved by the Agency, the selected Vendor shall maintain and modify the approved Project Plan throughout the project, with the Agency's approval, by updating it to reflect the evolving schedule, priorities, and resources (i.e., it is a "living document"). This project plan also includes a high-level description of other activities, tasks, and deliverables such as project assessment and control, configuration management, risk management, etc. that are defined later in this RFP and will have a separate plan. All of the tasks and deliverables in this activity contribute to the effective management of the project.

The Vendor plans for the execution of the project shall contain descriptions of the associated activities and tasks that include, but are not limited to, the following:

- Schedules for the timely completion of tasks
- Estimation of effort
- Adequate resources needed to execute the tasks
- Allocation of tasks
- Assignment of responsibilities
- Quantifications of risks associated with tasks or the process itself
- Quality assurance measures to be employed throughout the project
- Costs or resource hours associated with process execution
- Provision of environment and infrastructure
- Definition and maintenance of a lifecycle model that is comprised of stages using the defined lifecycle models for the projects of the organization

Deliverables

The following lists the deliverables for the Project Management activity:

- 1.1: Project Plan *V1
- 1.2: Monthly Project Plan

2.4.1.1 Task 1.1: Project Plan *V1

The Project Plan task is for development and execution of the Work Breakdown Structure (WBS) and Schedule (Project Plan), which describes the Vendor's plans for managing the project. The Project Plan creates a consistent, coherent document that is used to guide both Project execution and Project control. It will be identified as the baseline plan for future use in comparing current plans throughout the life of the project to assess progress[NF15].

At a minimum, the Vendor's Project Plan shall include at a high level the Vendor's Project Organization and Resource and Staffing Plan, Management Approach, Quality Management Plan, Configuration Management Plan, Issue and Risk Management Plan and Project Schedule. The actual details of these plans are identified later in this document as separate deliverables[NF16].

- The Project Organization and Resource and Staffing Plan will describe the organization structure, roles, and responsibilities of the personnel, staffing levels, and other resources that will be utilized to provide successful Project management. A description of the criteria and process used to develop the staffing estimates, criteria, and process used to determine staffing qualifications, detailed organizational charts, and a resource-loading chart shall be included. The organization structure must identify key personnel by name, title and job function, the percentage of time onsite, and whether each position will be filled by a Vendor employee or a subcontractor to the Vendor.
- The Management Approach shall describe the Vendor's approach to management and provide a preliminary detailed Project Plan, assumptions, and master schedule of milestones activities, tasks, and deliverables
- The Quality Management Approach shall describe how the Vendor's Quality Management Plan supports the Vendor's internal quality processes and conforms to the Project Management Institute's (PMI) Project Management Body of Knowledge (PMBOK), Fourth Edition (PMBOK Guide, American National Standards Institute (ANSI)/PMI 99-00\1-2008) and to ISO/IEEE 12207-2008, System and Software Engineering - Software Lifecycle Processes
- The Configuration Management Plan shall describe the administrative and technical procedures to be used throughout the project lifecycle to control system and project artifacts. The Vendor shall propose a tool for monitoring the processes to be followed for change and version control, the methods and tools to be used, and the approach to be followed. At a minimum, the plan shall describe the approach and scope. The approach includes explaining the methodology, integration and configuration management. The scope will describe the tasks and activities that will be performed as part of project configuration management including configuration identification, system release management, version control, audit control, and roles and responsibilities of personnel/resources.
- The Issue and Risk Management Plan shall describe the approach for issue/problem and risk/mitigation identification, tracking, reporting, assignment, resolution, and escalation. The plan shall include description of the automated tracking and management system(s) for capturing and tracking all issues/problems, action items, and risk/mitigation information.

The Project Plan should include an approach which describes the capability to adopt a lesser set of critical core features should the full implementation of the system appear infeasible prior to 2014. The Agency is faced with additional 400,000-500,000 new beneficiaries eligible for benefits as the result of the Affordable Care Act. To mitigate this risk, the vendor project plan should describe a series of decision points at which the status of development and estimated system completion can be assessed, and appropriate escalation, planning activities and implementation decisions are identified.

*The V1 indicator in the name of the Project Plan designates the first version of the Project Plan; **Project Plan V1 must be included in the proposal**. The selected Vendor will continue to update the Project Plan throughout the life of the project.

State Responsibility

- Provide input and clarifications to the Vendor as needed and respond to questions that the Vendors submit
- Provide access to policies and procedures related to Vendor deliverables
- Review and approve Project Plan V1

Vendor Responsibility

- Create and submit Project Plan V1 as part of the proposal
- Correct any issues identified by the Agency prior to initiating the Project Plan
- Review State policies prior to creating the plan

Acceptance Criteria

1.1: Project Plan V1

- Documentation of the Project Plan V1 as described in this RFP
- Inclusion of a WBS that details each deliverable in this RFP and other tasks and products needed for successful design development and implementation of the Alabama Recipient Subsystem

2.4.1.2 Task 1.2: Monthly Project Plan

This task addresses subsequent versions of the Project Plan. Version 1 of the Project Plan must be submitted with the Proposal as noted above. At a minimum, on a monthly basis, the Vendor shall submit updates to the Project Plan (e.g., version 2, 3, 4, etc.).

State Responsibility

- Review and approve deliverables
- Provide input and clarifications to the Vendor as needed

Vendor Responsibility

- Update plan as needed to accommodate changes in scope
- At a minimum, present changes to the plan on a monthly basis

Acceptance Criteria

1.2: Monthly Project Plan

- Documentation of the Quarterly Project Plan as described in this RFP
- Inclusion of a WBS that details each deliverable in this RFP and other tasks and products needed for successful design, development and implementation of the Alabama Recipient Subsystem
- Clear representation of what was changed in the plan

2.4.2 Activity 2: Project Assessment and Control

Objective

Monitor the status of project activities and take corrective action when required in order to ensure successful delivery of the new Recipient Subsystem.

Description

The purposes of project assessment control processes are to determine the status of the project and ensure that the project performs according to plans and schedules, and within projected budgets, and that it satisfies technical objectives. This process includes redirecting the project activities, as appropriate, to correct identify deviations and variations from other project management or technical processes. Redirection may include re-planning as appropriate.

As a result of the successful implementation of the project assessment and control process:

- Progress of the project is monitored and reported
- Interfaces between elements in the project, and with other project and organizational units are monitored
- Actions to correct deviations from the plan and to prevent reoccurrence of problems identified in the project are taken when project targets are not achieved
- Project objectives are achieved and recorded
- The Vendor Project Manager (PM) shall monitor the execution of the project, providing both internal reporting of the project progress and external reporting to the Agency
- The Vendor PM shall investigate, analyze, and resolve problems discovered during the execution of the project. The resolution of problems may result in changes to plans. It is the PMs responsibility to ensure the impact of any change is determined, controlled, and monitored. Problems and their resolution shall be documented. The Vendor PM shall report, at agreed points, the progress of the project, declaring adherence to the plans and resolving instances of the lack of progress. These include internal and external reporting as required by the organizational procedures and the contract.
- The Vendor PM shall ensure that the software products and plans are evaluated for satisfaction of requirements. The PM shall assist the evaluation of the results of software products, activities, and tasks completed during the execution of the project for achievement of the objectives and completion of the plans.

To accomplish the necessary control in the project, measurement processes will be used to collect, analyze, and report data relating to the products developed and processes implemented within the organizational unit, to support effective management of processes, and to objectively demonstrate the quality of the products.

As a result of successful implementation of the measurement process:

- The information needs of technical and management processes are identified
- An appropriate set of measures, driven by the information needs are identified and/or developed
- Measurement activities are defined in the plan

- The required data are collected, stored, analyzed and the results interpreted
- Information products are used to support decisions and provide an objective basis for communication
- The measurement processes and measures are evaluated
- Improvements are communicated to the measurement process owner

Deliverables

The following lists the deliverables for the Project Assessment and Control activity:

- 2.1: Monthly Project Status Reports
- 2.2: Corrective Action Plan Methodology

2.4.2.1 Task 2.1: Monthly Project Status Reports

In this task, the Vendor produces the Monthly Project Status Reports, which shall conform to reporting practices as described in Section 10.3 of the Project Management Body of Knowledge published by the Project Management Institute Fourth Edition (PMBOK Guide, ANSI/PMI 99-001-2008). At a minimum, the Project Status Report will include accomplishments, critical issues, personnel utilized, activity, tasks, defect reporting (as appropriate during the testing and validation phase) and deliverable status, budget status, and items planned for the next reporting period. It will also summarize schedule performance and budget performance to compare actual project performance with plan(s).

State Responsibility

- Review and approve project status reporting protocols
- Review and approve deliverables

Vendor Responsibility

- Obtain approval for report format
- Complete Monthly Project Status Report

Acceptance Criteria

2.1: Monthly Project Status Reports

- Use of approved format
- Inclusion of accomplishments, critical issues, personnel utilized, and items planned for the next reporting period
- Reporting of identified issues and risks and associated mitigation strategies
- Comparison of schedule and budget performance to actual project plan
- Use of PMBOK methodology
- Submission of Monthly Status Report

- Provide input and clarifications to the Vendor as needed
- Provide final approval on all tools that Vendor will use on the project

2.4.2.2 Task 2.2 Corrective Action Plan Methodology

Corrective action plans should address a practical strategy to resolve any impediments, the action to be taken and how it will be carried out. The plan should be organized, purposeful, accountable and measurable. The methodology should provide a template of how the item in need of correction will be documented. The template should include a description of the problem to correct the owner accountable for the results, actions, deadlines and specify what will be the outcome and how it can be measured.

State Responsibility

- Review and approve corrective action plans
- Own or participate in resolution when applicable

Vendor Responsibility

- Obtain consensus of corrective action plan template
- Use approved corrective action plan template
- Conduct analysis of impediment in need of corrective action
- Monitor, document and report on status of corrective action
- Own or participate in resolution when applicable

Acceptance Criteria

Task 2.2: Corrective Action Plan Methodology

- Inclusion of a corrective action plan template that is acceptable to the Agency
- Inclusion of measurable actions to gauge success
- Inclusion of specific steps to manage the corrective action plan process to acceptable[NF17] resolution

2.4.3 Activity 3: Decision Management

Objective

Promote effective decision-making in a timely fashion that considers all of the variables that can be impacted.

Description

The Vendor shall define a decision making strategy that is capable of addressing complex decisions expected to be required during development. This strategy should be part of the overall project management approach. The Vendor shall involve relevant parties and decision-making in order to draw on experience and knowledge. Circumstances requiring a decision shall be identified. The Vendor shall select and declare the decision making strategy for each decision situation. The Vendor shall identify desired outcomes and measurable success criteria.

The Vendor shall evaluate the balance consequences of alternative actions, using the defined decision-making strategy, to arrive at an optimization of, or improvement in, and identify decision situation.

The Vendor shall record, track, evaluate and report decision-making outcomes to confirm that problems have been effectively resolved, adverse trends have been reversed an advantage has been taken of opportunities. The project shall maintain records of problems and opportunities and their disposition in a manner that permits auditing and learning from experience.

2.4.4 Activity 4: Risk Management

Objective

The purpose of the risk management process is to identify, analyze, treat and monitor risks continuously. The risk management process is a continuous process for systematically addressing risk throughout the lifecycle of a system, software product or service. It is inclusive of risks related to the acquisition, development, maintenance, or operation of the system.

Description

As a result of successful implementation of the risk management process:

- The scope of risk management to be performed is determined
- Appropriate risk management strategies are defined and implemented
- Risks are identified as they develop during the course of the project
- Risks are analyzed in the priority in which to apply resources to treatment of these risks is determined
- Risk measures are defined, and applied, and assessed to determine changes in the risk status and the progress of the treatment of the activity
- Appropriate treatment is taken to correct or avoid the risk of impact based on its priority, probability, and consequence or other defined risk threshold
- Serious risks are identified and mitigated as early in the life cycle as possible. This may involve prototyping or limited development as early as the start of the project.

The context of the risk management process shall be defined and documented, including a description of stakeholder perspective, risk categories, and a description (perhaps by reference) of the technical and managerial objectives, assumptions and constraints. Risk thresholds, defining the conditions under which a level of risk may be accepted, shall be documented. A risk profile shall be established and maintained. The relevant risk profile shall be communicated periodically to stakeholders based on their needs.

The risks shall be identified by categories described in the risk management context. The probability of occurrence and consequences of each risk shall be estimated. Each risk shall be evaluated against its risk thresholds. For each risk that is above its risk threshold, recommended treatment strategy shall be defined and documented. Measures indicating the effectiveness of the treatment alternative shall also be defined and documented. (Risk treatment strategies include, but are not limited to, eliminating the risk, reducing its probability of occurrence or severity of consequence, or accepting the risk).

The Agency shall be provided alternatives for risk treatment and risk action requests. If the Agency determines that actions should be taken to make a risk acceptable, the risk treatment alternative shall be implemented. If the Agency accepts the risk that exceeds a threshold, it shall be considered a high priority and monitored continuously to determine if any future risk treatment actions are necessary.

All risks and the risk management process shall be continuously monitored for changes. Risks whose statuses have changed shall undergo risk evaluation. Measures shall be implemented and monitored to evaluate the effectiveness of risk treatments. The project shall continuously monitor for new risks throughout its lifecycle.

Information shall be collected throughout the project lifecycle for purposes of improving the risk management process and generating lessons learned. The risk management process shall be periodically reviewed for its effectiveness and efficiency. Information on the risks identified, their treatment, and the success of treatments shall be reviewed periodically for purposes of identifying systemic project and organizational risks.

Deliverables

- 4.1: Risk Management Plan
- 4.2: Lessons Learned

2.4.4.1 Task 4.1 Risk Management Plan

The Risk Management Plan documents the Vendor's approach to managing the risk management process to include identification, evaluation methodology, treatment, monitoring, and evaluation of the risk management process. The plan should include any software tools that the Vendor will be using to log risks and track them to resolution. The plan should include:

- Risk management policies describing the guidelines under which risk management is to be performed
- Risk management process to be implemented
- Responsible parties
- Continuous improvement process for risk avoidance
- Risk categories and profiles
- Risk analysis to include probability and consequences
- Treatment and monitoring

State Responsibility

- Review and approve Risk Management Plan
- Own or participate in the risk management process when applicable

Vendor Responsibility

- Implement the Risk Management Plan
- Conduct analysis of risks

- Monitor, document and report on status of risks
- Own or participate in the risk management process when applicable

Acceptance Criteria

Task 4.1: Risk Management Plan

- Scope of risk management is determined
- Appropriate risk management strategies are defined and implemented
- Steps to identify risks develop during the project are documented
- Methods to analyze and determine priority of risks are included
- Identification of what resources should be applied to the process
- Risk measures are defined as to how they will be applied, and assessed in order to determine whether or not there is a[NF18] change in the status of risk and the progress of the on-going treatment activities

2.4.4.2 Task 4.2 Lessons Learned

For this task, the Vendor shall collect information regarding Lessons Learned from stakeholders after each major milestone. Information collected shall be documented in a database and reported. The report should evaluate the lessons learned, evaluate and describe ways to improve in future phases and identify responsible parties for implementation of the future improvements.

State Responsibility

- Provide State perspective of lessons learned

Vendor Responsibility

- Provide Vendor documented perspective of lessons learned

Acceptance Criteria

4.2 Lessons Learned

- Incorporation of lessons learned at each major milestone into a report for Agency distribution
- Evaluation of lessons learned
- Lessons learned include suggestions for improvement
- Suggestions for improvement are incorporated when agreed upon

2.4.5 Activity 5: Configuration Management

Objective

Establish and maintain all versions of system artifacts throughout the lifecycle of the project.

Description

The purpose of the configuration management processes to establish and maintain the integrity of all identified outputs of a project or process and make them available to concerned parties.

As a result of the successful implementation of the configuration management process:

- Configuration management strategies defined
- Roles and responsibilities are defined[NF19]
- Items requiring configuration management are defined
- Configuration baselines are established
- Changes to items under configuration management are controlled
- Configuration of released items is controlled
- Status of items under configuration management is made available throughout the lifecycle
- Project shall define a configuration management strategy the project shall identify items that are subject to configuration control
- Project shall maintain information on configurations with an appropriate level of integrity and security
- Project shall ensure the changes to configuration baselines are properly identified, recorded, evaluated, approved, incorporated and verified

As a result of successful implementation of the software configuration management process:

- A software configuration management strategy is developed
- Items generated by the process or project are identified, defined and base-lined
- Modifications and releases of the items are controlled
- Modifications and releases are made available to affected parties
- The status of items and modifications are recorded and reported
- The completeness and consistency of the items is insured
- The storage, handling and delivery of the items are controlled

Software configuration management plan shall be developed. The plan shall describe the configuration management activities; procedures and schedule for performing these activities; the organizations responsible for performing these activities; and relationship with other organizations such as software development or maintenance. The plan, which may be part of the system configuration management plan, shall be documented and implemented.

A scheme shall be established for edification of software items and their versions to be controlled for the project. For each software item and its versions, the following shall be identified: the documentation that establishes a baseline, the version references, and any other identification details.

The following shall be performed:

- Identification and recording of change requests

- Analysis and evaluation of the changes
- Approval or disapproval of the request
- Implementation, verification, and release of the modified software item

An audit trail shall exist, whereby each modification, the reason for the modification, and authorization the modification can be traced. Control and audit of all processes to software controlled items that handle safety or security critical functions shall be performed.

Management records and status reports that show the status and history of controlled software items, including baselines, shall be prepared. Status reports should include the number of changes for project, the software item versions, release identifiers, the number of releases, and comparison of releases.

The following shall be ensured: the functional completeness of the software items against their requirements, and the physical completeness of the software items (whether their design and code reflect an up-to-date technical description).

The release and delivery of software products and documentation shall be formally controlled. Master copies of code and documentation shall be maintained for the life of the project. The code and documentation that contain safety or critical functions shall be handled, stored, package, and delivered in accordance with the policies of the organizations involved.

Deliverables

The following lists the deliverables for the Configuration Management activity:

- 5.1: Configuration Management Plan

2.4.5.1 Task 5.1 Configuration Management Plan

The configuration management plan shall define a strategy for the disposition, access, release and control of changes to the items that are subject to configuration control. Although addressed at a high level in the project plan deliverable, the Vendor should provide the specifics of the strategy in their Configuration Management Plan. Items must be identified that are subject to configuration control and ensure that the execution is recorded, evaluated, approved, incorporated, and verified.

State Responsibility

- Review and approve the Configuration Management Plan

Vendor Responsibility

- Document Configuration Management Plan
- Implement Configuration Management Plan
- Internally audit adherence to Configuration Management Plan and report findings to the Agency

Acceptance Criteria

5.1: Configuration Plan

- A configuration management strategy is defined
- Items requiring configuration management are defined
- Configuration baselines are established
- Changes to items under configuration management are controlled
- Environments are defined including, at a minimum, development, test, UAT, training, staging and production environments[NF20]
- The configuration of released items is controlled
- The status of items under configuration management is made available throughout the lifecycle

2.4.6 Activity 6: Requirements Analysis and Management

Objective

Define, analyze, and maintain traceability of system requirements throughout the lifecycle of the system.

Description

The purpose of the Requirements Analysis and Management process is to define the requirements for a system that can provide the services needed by users and other stakeholders in a defined environment. It identifies stakeholders, or stakeholder classes, involved with the system throughout its lifecycle, and their needs and desires. It analyzes and transforms these into a common set of stakeholder requirements that express the intended interaction the system will have with its operational environment and that are the references against which each resulting operational service is validated in order to confirm that the system fulfills its needs.

As a result of successful implementation of the stakeholder requirements definition process:

- The required characteristics in context of use of services are specified
- The constraints on system solution are defined
- Traceability of stakeholder requirements to stakeholders and their needs is achieved
- The basis for defining the system requirements is described
- The basis for validating the conformance of services is defined
- A basis for negotiating the agreement to supply service or product is provided

The project (both Vendor and State Agency staff) shall identify the individual stakeholders or stakeholder classes who have a legitimate interest in the system throughout its lifecycle. The project shall elicit stakeholder requirements. The project shall define the constraints on the system solution that are unavoidable consequences of existing agreements, management decisions, and technical decisions. The vendor shall define a representative set of activity sequences to identify all required services that correspond to anticipated operational and support scenarios and environment. The vendor shall identify the interaction between users and the system, taking into account human capabilities and skills limitations. The project shall

specify health, safety, security, environment, and other stakeholder requirements and functions that relate to critical qualities and shall address possible adverse effects of use of the system on human health and safety.

The vendor shall analyze the complete set of elicited requirements. The vendor, in conjunction with the project's governance system, shall resolve requirements problems. The project shall request feedback of the analyzed requirements from applicable stakeholders to ensure that the needs and expectations have been adequately captured and expressed. The project shall establish with stakeholders that their requirements are expressed correctly.

The vendor shall record stakeholder requirements in a form suitable for requirements management throughout the lifecycle and beyond. The vendor shall maintain stakeholder requirements traceability to the sources of stakeholder need.

The purpose of system requirements analysis is to transform the defined stakeholder requirements into a set of desired system technical requirements that will guide the design of the system. As a result of successful implementation of systems requirements analysis:

- A defined set of system functional and nonfunctional requirements describing the system to be developed are established
- The appropriate techniques are performed to optimize the preferred project solution
- System requirements are analyzed for correctness and testability
- The impact of system requirements on the operating environment are understood
- The requirements are prioritized, approved and updated as needed
- Consistency and traceability are established between system requirements and the Agency's requirements baseline
- Changes to the baseline are evaluated for cost, schedule and technical impact
- The system requirements are communicated to all affected parties and base-lined

The specific intended use of the system to be developed shall be analyzed to specify system requirements. The documented system requirement specification shall include:

- Functions and capabilities of the system
- Business, organizational and user requirements
- Safety, security, human-factors engineering (ergonomics), interface, operations, and maintenance requirements
- Design constraints and qualification requirements

The system requirements shall be evaluated considering the criteria listed below. The results of evaluations shall be documented:

- Traceability to Agency needs
- Consistency with Agency needs
- Testability

Software Requirements establish the requirements of the software elements of the system. As a result:

- Requirements allocated to the software elements of the system and their interfaces are defined
- Software requirements are analyzed for correctness and testability
- Impacts of software requirements on the operating environment are understood
- Consistency and traceability are established between the software requirements system requirements
- Prioritization for implementing the software requirements is defined
- Software requirements are approved and updated as needed
- Changes to the software requirements are evaluated for cost, schedule and technical impact
- Software requirements are base-lined and communicated to all affected parties

For each software item (for configuration item, if identified) the Vendor shall establish and document software requirements (including the quality characteristics specifications) described below:

- Functional capability specifications, including performance, physical characteristics, and environmental conditions under which the software item is to perform
- Interfaces external to the software item
- Qualification requirements
- Safety specifications, including those related to methods of operation and maintenance, environmental influences, and personal injury, as applicable
- Security specifications, including those related to compromise of sensitive information
- Human factors engineering (ergonomics) specifications, including those related to manual operations, human equipment interactions, constraints on personnel, and areas needing concentrated human attention, that are sensitive to human errors and training
- Data definition and database requirements
- Installation and acceptance requirements of the delivered software product at the operation and maintenance side
- User documentation requirements
- User operation and execution requirements
- User maintenance requirements

The Vendor and Agency shall evaluate the software requirements according to the criteria listed below. The results of the evaluation shall be documented.

- Bi-directional[NF21] traceability to and from system requirements to design to test scripts
- External consistency with system requirements

- Internal consistency
- Testability
- Feasibility of software design
- Feasibility of operation and maintenance

Deliverables

The following lists the deliverables for the Project Management activity:

- 6.1: Requirements Documentation
- 6.2: Requirements Validation and Traceability Plan
- 6.3: Requirement Change Control Plan
- 6.4 Requirement Traceability Matrix[NF22]

2.4.6.1 Task 6.1: Requirements Documentation

An initial set of Recipient Subsystem requirements were gathered during Phase I of the Recipient Subsystem Modernization Project solicited in ITB #09-X-2205831 and are referenced in Section 1.1.6.5.3 above. During Phase I, these requirements were initially compiled into the Baseline System Requirements and Specifications document based on the results of the MITA Self Assessment and business process reengineering activities. Once the initial Baseline System Requirements and Specifications deliverable document was created, it was updated as a result of Joint Application Requirement (JAR) sessions that were conducted to obtain more detailed requirements.

This activity requires the Vendor to analyze and refine the base-lined requirements previously identified and finalize the functional and technical specifications that will be included in the new Recipient Subsystem. The validated set of Requirements will be updated as subsequent tasks are completed. Additionally, the Requirements will be used to build test scripts and scenarios, and will be fully tested during user acceptance testing. This task must include at a minimum:

- Identification and understanding of all requirements
- Facilitation of design meetings to confirm and capture all requirements
- Validated set of final requirements that are unique, verifiable, bounded and where relationships are defined[NF23]

State Responsibility

- Provide access to current systems and business documentation, including user manuals, system narratives, program logic, file structures, record forms, data definitions, performance standards, As Is process, and existing baseline requirements
- Clarify, at the Vendor's request, Alabama's policies, regulations, and procedures
- Provide the appropriate staff for requirements sessions that understands the intent of requirements and the State's vision regarding the Recipient Subsystem
- Manage the requirements change management process and conduct Recipient Subsystem Requirements Change Control Board Meetings as needed

- Review and approve the Requirements Documentation

Vendor Responsibility

- Review documentation provided by the State pertaining to the Recipient Subsystem
- Conduct in-depth analysis of existing business, system, and user requirements
- Plan, schedule, and conduct requirements analysis meetings with appropriate State staff
- Document findings of these meetings and prepare draft reports for review and comment by State staff
- Document a final set of requirements in narrative format
- Conduct a walkthrough of the final set of requirements with appropriate State staff
- Prepare a detailed requirements deliverable that shall be used to guide work to be performed in subsequent project tasks
- Participate in the Requirements Change Control Board process as needed

Acceptance Criteria

6.1: Requirements Documentation

- Addressing the identification and understanding of requirements throughout the conceptual architectural design, detail design, and testing documentation activities
- Inclusion of changes to requirements that the State approves
- Documentation of the Requirements as described in this RFP
- Resolution of all outstanding issues related to the requirements

2.4.6.2 Task 6.2: Requirements Validation and Traceability Plan

The Requirements Validation and Traceability Plan presents the Vendor's approach to ensure all requirements are captured and met. The purpose of this task is to describe the Vendor's approach to review, analyze, and validate requirements throughout the life of the project. This task must include at a minimum:

- Approach to review and analyze all requirements during design sessions
- Approach to validate a common understanding of all requirements during conceptual architectural design sessions
- Strategy for maintaining requirement traceability in all documentation

State Responsibility

- Clarify, at the Vendor's request, Alabama's policy, regulations, and procedures
- Provide the appropriate staff that understands the intent of the requirements and State vision for conceptual and detailed design sessions
- Review and approve the Requirements Validation and Traceability Plan

Vendor Responsibility

- Validate an approach to obtain common understanding of the requirements in this RFP
- Document the process to add and remove requirements that the State approved via the change control process
- Collaborate with State on the tool that will create bi-directional[NF24] traceability from RFP through operations

Acceptance Criteria

6.2: Requirements Validation and Traceability Plan

- Addressing of the validation of requirements throughout the architectural design, detail design, and testing documentation activities
- Inclusion of requirement changes that the State approves in the change control process
- Documentation of the Requirements Validation and Traceability Plan as described in this RFP
- Documentation of the tool for tracking requirements[NF25]

2.4.6.3 Task 6.3: Requirement Change Control Plan

In this task, the Vendor produces the Requirement Change Control Plan. It describes the Vendor's approach to requirement change control, including the tracking of requirements, software used to track all requirements, reporting of requirements, assignment, resolution, and escalation of requirement change control requests. This plan will be consistent with the vendor's configuration control approach.

State Responsibility

- Provide access to appropriate staff to clarify requirements
- Attend regular meetings to manage requirements change requests
- Review and approve requirement change control plan
- Provide input and clarifications to the Vendor as needed
- Collaborate with Vendor on the tool that will create traceability from RFP through operations

Vendor Responsibility

- Create Requirement Change Control Plan
- Apply changes as requested
- Collaborate with State on the tool's user access and reporting requirements

Acceptance Criteria

6.3: Requirement Change Control Plan

- Documentation of the Requirement Change Control Plan as described in this RFP
- Provision of a change request form for project staff to complete when a change to a requirement is identified
- Documentation of the methodology for change requests, review and approval of the requests, committee for acceptance or denial of the request, costs associated with the request, resolution, and escalation of the request

2.4.7 Activity 7: Conceptual Architectural Design

Objective

Build the basic foundation that defines the structure of the proposed solution, including the functional elements, their relationships, and the system behavior.

Description

The system conceptual architectural design activity will identify which system requirement should be allocated to which elements of the system. As a result of the successful implementation of the system conceptual architectural design process:

- System architecture design is defined that identifies elements of the system and meets the defined requirements
- The system's functional and nonfunctional requirements are addressed
- The requirements are allocated to the elements of the system
- Internal and external interfaces of each system element are defined
- Verification between the system requirements and the system architectures performed
- The requirements allocated to the system elements and their interfaces are traceable to the Agency's requirement baseline
- Consistency and traceability between system requirements and system architecture design is maintained
- The system requirements, the system architecture design, and their relationships are base-lined and communicated to all affected parties
- Human factors and ergonomics knowledge and techniques are incorporated in the system design
- Human centered design activities are identified and performed

A top-level architecture of the system shall be established. The architecture shall identify items of hardware, software, and manual operations. It shall ensure that all system requirements are allocated among the items. Hardware configuration items, software configuration items, and manual operations shall be subsequently identified from these items. The system architecture and system requirements allocated to the items shall be documented.

The system architecture and the requirements for the items shall be evaluated considering the criteria listed below. The results of the evaluations shall be documented:

- Traceability to system requirements
- Consistency with system requirements
- Appropriateness of design standards and methods used
- Feasibility of the software items for filling their allocated requirements
- Feasibility of operation and maintenance

The purpose of the software conceptual architectural design process is to provide a design for the software that implements the software item and can be verified against the requirements. As a result of successful implementation of the software conceptual architectural design process:

- A software conceptual architectural design is developed and base-lined that describes the software items that will implement the software requirements
- Internal and external interfaces of each software item are defined
- Consistency and traceability are established between software requirements and software design
- The Vendor shall transform the requirements for the software into an architecture that describes its top level structure and identifies the software components. It shall ensure that all requirements for the software item are allocated to its software components and further refined to facilitate detailed design. The architecture of the software design shall be documented.
- The Vendor shall develop and document a top-level design for the interfaces external to the software item and between the software components of the software item
- The Vendor shall develop and document a top-level design for the database
- The Vendor should develop and document preliminary versions of user documentation
- The Vendor shall define and document preliminary test requirements and the schedule for software integration

The Vendor shall evaluate the architecture of the software item and the interface and designs considering the criteria listed below. The results of the evaluations shall be documented.

- Traceability to the requirements of software item
- External consistency with the requirements of the software item
- Internal consistency between the software components
- Appropriateness of design methods and standards used
- Feasibility of detail design
- Feasibility of operation and maintenance

Conceptual design is the vital stage of the product creation that defines the success or failure of the product usability. In this activity, the Vendor performs tasks including defining the methodology for conceptual design with an approach to the design sessions, and the specifications for the conceptual design.

Deliverables

-
- 7.1: Conceptual Architectural Design Methodology
- 7.2: Conceptual Architectural System Design
- 7.3: Business Rules Plan
- 7.4: Workflow Plan[NF26]

2.4.7.1 Task 7.1: Conceptual Architectural Design Methodology

To create the Conceptual Architectural Design Methodology in this task, the Vendor must describe the approach to design sessions and validation of the design specifications for the Recipient Subsystem. The outcomes of this task must include at a minimum:

- The methodology that will be used for sessions
- Schedule, topics, location, and participants for each design session
- The requirements that each session will address, including the strategy to maintain traceability of all requirements during each session
- The business process that will be addressed for each design session
- The strategy to ensure a final integrated design
- A style guide that describes what will be included in the conceptual design specifications that Vendor analysts will use for design layouts
- The strategy for design session results and validation of these results
- The participant training that will take place prior to the start of design session

State Responsibility

- Review and approve the Vendor's approach to design sessions
- Ensure the availability of the identified State personnel for the training sessions prior to the start of the conceptual design sessions
- Ensure the availability of the identified State personnel for the conceptual architectural design sessions
- Provide input and clarifications to the Vendor as needed
- Provide a list of participants available for each session

Vendor Responsibility

- Prepare and create a methodology that will be used for conceptual architectural design sessions
- Create a schedule, topics, location, and participants for conceptual architectural design sessions

- Develop a strategy to ensure a final integrated design
- Collaborate with State on a style guide for design layouts, staffing, schedule, and business process
- Prepare and develop a strategy for design session results and validation of these results
- Create training materials for session participants

Acceptance Criteria

7.1: Conceptual Architectural Design Methodology

- Compliance with all the requirements
- Completion of participant training sessions prior to the start of the conceptual architectural design sessions
- Documentation of a comprehensive design style guide
- Documentation of the schedule, topics, locations, and participants for each session

2.4.7.2 Task 7.2: Conceptual Architectural System Design

As a result of the design sessions, the Vendor will produce a Conceptual Architectural Design incorporating the items identified in the Description above. The design should implement the software item; be verified against the requirements and:

- The conceptual architectural design is base-lined describing the software items that will implement the software requirements
- Internal and external interfaces of each software item are defined
- Consistency and traceability are established between software requirements and software design
- The Vendor shall transform the requirements for the software into an architecture that describes its top level structure and identifies the software components. It shall ensure that all requirements for the software item are allocated to its software components and further refined to facilitate detailed design. The architecture of the software design shall be documented.
- The Vendor shall develop and document a top-level design for the interfaces external to the software item and between the software components of the software item
- The Vendor shall develop and document a top-level design for the database
- The Vendor should develop and document preliminary versions of user documentation
- The Vendor shall define and document preliminary test requirements and the schedule for software integration

The Vendor shall evaluate the architecture of the software item and the interface and designs and the results of the evaluations shall be documented.

State Responsibility

- Review and approve the conceptual design
- Attend Joint Application Development (JAD) Sessions
- Attend final walkthroughs of the conceptual design to enhance understanding to facilitate the approval process
- Provide input and clarifications to the Vendor as needed
- Co-facilitate presentation for committee approval to move to the detail design phase of the project
- Fully participate in preliminary logical and physical data modeling sessions

Vendor Responsibility

- Facilitate JAD sessions and provide minutes daily to participants for review
- Prepare the Conceptual System Design, meeting the requirements as defined in this RFP and as defined through the JAD sessions
- Document a preliminary set of business rules and workflows
- Conduct ongoing presentation of window, screen, business rules, and other layouts and obtain State subject matter expert approval
- Conduct walkthroughs and demonstrations during the Conceptual Architectural System Design to enhance State understanding and to facilitate the approval process
- Co-facilitate presentation for State approval to move to the detail design phase of the project

Acceptance Criteria

7.2: Conceptual Architectural System Design

- Compliance with all the requirements
- Documentation of preliminary business rules and workflows
- Design specifications meet the agreed upon style guide
- Documentation of the completion of all sessions
- Inclusion of steps that allow for review and approval of design specifications by the State (i.e., decision point)

2.4.7.3 Task 7.3: Business Rules Plan

The Business Rules Plan includes the Vendor's approach to identification and documentation of the business rules.. The purpose of this task is for the Vendor to identify the approach used to facilitate business rules development with the State project team to analyze, identify, compare, validate, refine, and document the State's business rules related to the Recipient Subsystem during conceptual and detail design. This task must include at a minimum:

- Approach to review and analyze all business rules during design sessions

- Approach to validate a common understanding of all business rules during design sessions
- Identification of tools that will be used to diagram, present and confirm business rules (e.g., decision trees, decision tables, etc.)

State Responsibility

- Clarify, at the Vendor's request, Alabama's policy, regulations, and procedures
- Provide the appropriate staff for conceptual and detailed design sessions that understands the intent of the business rules , their relationship to policy and procedures and the State vision
- Review and approve the Business Rules Plan

Vendor Responsibility

- Identify and analyze business rules needed by Alabama's Recipient Subsystem
- Facilitate business rules sessions
- Validate an approach to obtain common understanding of the business rules
- Document the methodology to identify, diagram and present business rules to the State for approval during conceptual and detail design
- Document the process to add and remove business rules that are approved by the State during the life of the project

Acceptance Criteria

7.3: Business Rules Plan

- Addressing the validation of business rules throughout the conceptual design, detail design, and testing documentation activities
- Inclusion of changes to business rules that the State approves
- Documentation of the Business Rules

2.4.7.4 Task 7.4: Workflow Plan

The Workflow Plan includes the Vendor's approach to identification and documentation of the system's workflows. The purpose of this task is for the Vendor to identify the approach used to facilitate workflow identification sessions with the State project team to analyze, identify, compare, validate, refine, and document the State's workflows related to the Recipient Subsystem during conceptual and detail design. This task must include at a minimum:

- Approach to review and analyze all workflows during design sessions
- Approach to validate a common understanding of all workflows during design sessions
- Identification of tools that will be used to diagram, present and confirm workflows (e.g., workflow diagrams, workflow rules, etc.)

State Responsibility

- Clarify, at the Vendor's request, Alabama's policy, regulations, and procedures
- Provide the appropriate staff for conceptual and detailed design sessions that understands the intent of the workflows, their relationship to policy and procedures and the State vision
- Review and approve the Workflow Plan

Vendor Responsibility

- Identify all workflows of the system
- Facilitate workflow sessions
- Validate an approach to obtain common understanding of the workflows
- Document the methodology to identify, diagram and present workflows to the State for approval during conceptual and detail design
- Document the process to add and remove workflows that are approved by the State during the life of the project

Acceptance Criteria

7.3: Workflow Plan

- Addressing the validation of workflows throughout the conceptual design, detail design, and testing documentation activities
- Inclusion of changes to workflows that the State approves
- Documentation of the Workflow Rules[NF27]

2.4.8 Activity 8: Detailed Design

Objective

Create system architecture and design documents that incorporate the functional and non-functional requirements created for the new Recipient Subsystem.

Description

The detail design activities will provide a methodology for processing, capture, storage, transformation, and dissemination of information during this phase. Documenting this information facilitates the successful design, development and implementation of the new Recipient Subsystem. The activities associated with detail design include specifications for all system objects, such as programs, screens, interfaces, reports, templates, and forms. The Vendor's responsibilities include documentation of the detail design methodology, as well as training for all of the participants in the design sessions. Written approvals from the State validate the accuracy and completeness of the documents.

The purpose of the software detailed design activity is to provide a design for the software that implements and can be verified against requirements in the software architecture and is sufficiently detailed to permit coding and testing. As a result of successful implementation of the software detailed design process:

- A detailed design of each software component, describing the software units to be built, is developed
- External interfaces of the software unit are defined
- Consistency and traceability are established between the detailed design and the requirements and the Conceptual Architectural design

The Vendor shall develop the detailed design for each software component of the software item. The software components shall be refined into lower levels containing software units that can be coded, compiled, and tested, as appropriate. It shall ensure that all the software requirements are allocated from the software components to the software units. The detailed design shall be documented.

The Vendor shall develop and document a detailed design for the interfaces external to the software item, between the software components, and between the software units. The detailed design of the interfaces shall permit coding without the need for further information.

The Vendor shall develop and document the detailed design for the database.

The Vendor shall update user documentation as necessary.

The Vendor shall define and document test requirements and a schedule for testing software units. The test requirements should include stressing the software unit at the limits of its requirements.

The Vendor shall update the test requirements and the schedule for software integration.

The Vendor shall evaluate the software detailed design and test requirements considering the criteria listed below. The results of the evaluation should be documented.

- Traceability to the requirements of the software item
- External consistency with Conceptual Architectural design
- Internal consistency between software components and software units
- Appropriateness of design methods and standards used
- Feasibility of testing
- Feasibility of operation and maintenance

Deliverables

- 8.1: Detail System Design Session Plan
- 8.2: Detail System Design Document (DSD)
- 8.3: Business Rules Design
- 8.4: Interface Design
- 8.5: Forms, Templates and Notices Detail Design
- 8.6: Alerts Detail Design
- 8.8: Reports Detail Design

2.4.8.1 Task 8.1: Detail System Design Session Plan

In the Detail System Design Session Plan task, the Vendor develops and documents the approach to design sessions and validation of the design specifications. The outcomes of this task must include at a minimum:

- The methodology that will be used for design sessions
- Schedule, topics, location, and participants for each design session
- The requirements that will be addressed for each session including a bi-directional strategy to maintain traceability of all requirements during session
- The business process that will be addressed for each design session
- The strategy to ensure a final integrated design
- A style guide that describes the design specifications that Vendor analysts will use for design layouts
- The strategy for design session results and validation of these results
- The participant training that will take place prior to the start of design

State Responsibility

- Review and approve the Vendor's approach to design sessions
- Ensure the availability of the identified State personnel for the training sessions prior to the start of the detail system design sessions
- Ensure the availability of the identified State personnel for the JAD sessions
- Provide input and clarifications to the Vendor as needed
- Provide a list of participants available for each session

Vendor Responsibility

- Prepare and create a methodology that will be used for detail system design sessions
- Create a schedule, topics, location, and participants for detail system design sessions
- Develop a strategy to ensure a final integrated design
- Collaborate with State on a style guide for design layouts, staffing, schedule, and business process
- Prepare and develop a strategy for design session results and validation of these results
- Create training materials for session participants

Acceptance Criteria

8.1: Detail System Design Session Plan

- Documentation of the Detail System Design Plan as described in this RFP
- Completion of participant training sessions prior to the start of design sessions

- Documentation of a comprehensive design style guide
- Documentation of the schedule, topics, locations, and participants for each session

2.4.8.2 Task 8.2: Detail System Design Document

The Vendor develops and validates the Detail System Design (DSD) document in this task. The detail system design will describe the system architecture and design at the detailed level and provides the programmers enough information to develop the Recipient Subsystem.

At a minimum, the task shall include:

- Final logical and physical data models
- Final data model with all relationships, business rules, definitions, and table domains including look up tables
- Final application infrastructure rules including rules to handle data inserts to maintain logical consistency between records
- Final detailed comprehensive data element dictionary including, at a minimum:
    - A description of all tables used in both systems
    - A description of each data element within each table
    - A unique data element number and standard data element name
    - A narrative description and definition of the data element based on the Alabama database naming standards
    - A table of values for each data element
    - The source of each data element
- Valid values with definitions
- Lists from the data element dictionary in multiple sort formats
- Final hierarchy chart that shows the relationship between business processes
- Final network configuration with a graphic layout of network lines showing alternative line configurations and all hardware and software detail
- Final business rules
- Final detailed system architecture
- Detailed narrative of the entire system and the flow of data through the system including diagrams
- Detailed narrative of navigation, describing inputs, features, and processes
- Flow diagram identifying all inputs, processes, and outputs
- Final screen/window layout
- Final screen narratives with screen/field mapping
- Identification of all requirements that are met with the proposed conceptual design

- Detailed program logic descriptions and edit logic including, at a minimum, the sources of all input data, each process, all editing criteria, all decision points, and associated criteria, interactions with other programs, and all outputs
- Final layouts for all inputs to include, at a minimum, input names and numbers; data element names, numbers, and sources for each input field and examples of each input
- Final layouts for all outputs to include, at a minimum, output names and numbers; data element names, numbers, and sources for each output field; and examples of each output
- Final layouts for all files to include, at a minimum, file names and numbers; data element names, numbers, number of occurrences, length and type; record names and numbers, and file maintenance data such as number of records, file space, and so forth
- Final crosswalk of new Recipient Subsystem and AMAES

State Responsibility

- Validate that the design will support the State Vision, does not require duplicate entry, and supports each program
- Validate the design contains data for reporting requirements
- Validate the design is comprehensive and contains the necessary detail for development
- Review and approve the detail system design
- Co-facilitate presentation for committee approval to move to the development phase of the project
- Provide input and clarifications to the Vendor as needed
- Fully participate in final logical and physical data modeling sessions

Vendor Responsibility

- Develop the final version of the DSD specifications
- Conduct walkthroughs and demonstrations during the detail system design to enhance State understanding and to facilitate the approval process
- Conduct ongoing presentation of screen/window, and other layouts and obtaining State approval during the detail system design development to facilitate overall State approval
- Co-facilitate presentation for committee approval to move to the development phase of the project

Acceptance Criteria

8.2: Detail System Design Document

- Documentation of the detail system design according to the requirements of this RFP and added through the change control process
- Documentation of a complete, comprehensive design that is ready for development
- Resolution of all outstanding issues related to the design

- Inclusion of steps that allow for review and approval of redesign specifications by the State (i.e., decision point)

2.4.8.3 Task 8.3: Business Rules Design

The Business Rules Documentation ensures all Recipient Subsystem business rules are captured and diagrammed. As mentioned earlier in the RFP, the Agency has purchased InRule as it supports the Oklahoma system and the Agency desires to leverage as much as possible. The purpose of this task is for the Vendor to JAD sessions with the State project team to analyze, identify, validate, refine, and document the State's business rules related to the Recipient Subsystem. The Vendor shall summarize the results of the business rules in narrative format. Included in this task will be the identification of decision tables, appropriate parameters, and reference tables utilized by the business rules. This task must include at a minimum:

- Identification and understanding of all business rules
- Conducting business rules sessions to obtain confirmation of rules, decision tables, reference tables, and parameters
- Documenting business rules and decision tables
- Strategy for tracking rules changes in all documentation

State Responsibility

- Clarify, at the Vendor's request, Alabama's policies, regulations, and procedures
- Provide the appropriate staff for design sessions that understands the intent of the business rules, and their relationship to policy and procedures and the State vision
- Review and approve the Business Rules Design

Vendor Responsibility

- Identify and analyze business rules required by Alabama's Recipient Subsystem
- Facilitate business rules design sessions
- Obtain common understanding of the business rules
- Diagram and present business rules to the State staff for approval during detail design
- Document the process to add and remove business rules approved by the State during the life of the project
- Develop the final business rules design

Acceptance Criteria

8.3: Business Rules Design

- Addressing of the validation of business rules throughout the conceptual design, detail design, and testing documentation activities
- Inclusion of changes to business rules upon State approval
- Documentation of the Business Rules Design as described in this RFP

2.4.8.4 Task 8.4: Interface Detail Design

The Interface Detail Design task consists of the Vendor's design and documentation of all system interfaces for the new Recipient Subsystem. The interface design shall include at a minimum:

- System configuration diagram showing all Recipient Subsystem interfaces
- Interface design descriptions, including:
  - Interface identification, including type of interface (such as real-time data transfer, storage-and-retrieval of data, etc.) to be implemented
  - Characteristics of individual data elements and data element assemblies (records, messages, files, arrays, displays, reports, etc.) that the interfacing entity(s) will provide, store, send, access, receive, etc.
  - Characteristics of communication methods and protocols that the interfacing entity(s) will use for the interface
  - Characteristics of processing including processing time requirements
  - Other characteristics, such as physical compatibility of the interfacing entity(s) (dimensions, tolerances, loads, plug compatibility, etc.)
- Traceability to requirements addressed by the interfaces
- When required, any specifications required of other systems to ensure an effective interface with the new Recipient Subsystem

The documentation for each interface shall include:

- Detailed interface descriptions including, at a minimum, data elements, editing criteria, business rules, Agency, State, and federal policy requirements driving the informational need for the interface, and all decision points and associated criteria, interactions with other programs, and all inputs and outputs
- Layouts for all interfaces including, at a minimum, file/database names and other identifiers, number and direction of transmittals, record names, numbers, length and type, as well as interface and file maintenance data such as, but not limited to: number of records during routine operations, required disk space, file retention, and backup (all of which can be the same layouts used in the detail system design so long as they meet all requirements for both deliverables)
- System narratives and module narratives (including structure charts), identifying the process associated with each interface, the purpose of the interface, and interrelationships between the program modules involved in the interface
- Detailed comprehensive interface description dictionary, including, at a minimum, data element names, numbers, descriptions, and definitions (including length and type); valid values with definitions; sources for all identified data elements and information transmittals
- Interface and process descriptions showing the flow of major processes and data in each of the subsystems and across subsystems

- Subsystem name and identification, subsystem data flows, etc.
- Security implications

State Responsibility

- Review and approve the Vendor's approach to Interface sessions and validation of interface design specifications
- Ensure the availability of the identified State personnel to attend and participate in the Interface design sessions
- Review and approve the final detailed Interface Design
- Provide input and clarifications to the Vendor

Vendor Responsibility

- Prepare and develop an approach to Interface sessions and validation of interface design specifications
- Prepare and develop a schedule, topics, location, and participants for DSD sessions
- Facilitate the Interface detail system design sessions
- Prepare the final detailed Interface Design as described in this RFP and as defined through the JAD sessions

Acceptance Criteria

8.4: Interface Detail Design

- Documentation of a final interface design that integrates in the detail system design document
- Documentation of the Interface Design task according to the requirements of this RFP and added through the change control process
- Documentation of a complete, comprehensive design that is ready for development
- Resolution of all outstanding issues related to the design

2.4.8.5 Task 8.5: Forms, Templates and Notices Detail Design

Concurrently with detail design sessions, the Vendor will create the design specifications for all forms, templates, and notices. The design must include at a minimum:

- Each template that will be generated with pre-filled data from the Recipient Subsystem including forms and notices
- Each form and notice that will be generated by the Recipient Subsystem
- Any form or notice that will be stored in the Document Management System
- All prefilled templates must include data map sourcing

State Responsibility

- Review and approve the final detailed design specifications for forms, templates and notices
- Attend walkthroughs during the conceptual design to enhance understanding of the Recipient Subsystem and to facilitate the approval process
- Ensure the availability of the identified State personnel to attend and participate in the design sessions

Vendor Responsibility

- Collaborate with the State on the final detailed design of the layout, narratives, and data mapping source for each standardized form or notice generated from the Recipient Subsystem
- Collaborate with the State on the final detailed design of the layout, narratives, and data mapping source for each template that will be generated with prefilled data from the Recipient Subsystem
- Facilitate the Forms, Templates, and Notices detail system design sessions
- Conduct walkthroughs and demonstrations during the detail system design to enhance State understanding and to facilitate the approval process
- Develop the final detailed design of the layout and narratives for each form and notice that will be stored in the Document Management System

Acceptance Criteria

8.5: Forms, Templates and Notices Detail Design

- Documentation of tools related to document management and template creation
- Identification of all forms, templates, and notices
- Identification of source of all data that pre-fills templates
- Resolution of all outstanding issues related to the design
- Documentation of the Forms, Templates, and Notices design as described in this RFP and as defined through the JAD sessions

2.4.8.6 Task 8.6: Alerts Detail Design

Concurrently with detail design sessions, the Vendor will create the design specifications for all alerts. The design must include at a minimum:

- Each alert required from the Recipient Subsystem
- Description of resolution of alerts

State Responsibility

- Review and approve the final detailed design specifications for alerts

- Ensure the availability of the identified State personnel to attend and participate in the design sessions
- Attend walkthrough during the design to enhance understanding of the Recipient Subsystem and to facilitate the approval process

Vendor Responsibility

- Collaborate with the State on the final detailed design of the alerts generated by the Recipient Subsystem
- Facilitate the Forms, Templates, and Notices detail system design sessions
- Conduct walkthroughs and demonstrations during the detail system design to enhance State understanding and to facilitate the approval process
- Develop the final detailed design of the Alerts process

Acceptance Criteria

8.6: Alerts Detail Design

- Identification and documentation of all alerts generated by the Recipient Subsystem
- Identification of source of all data that generates the alerts
- Identification of what triggers an alert, when the alert is generated, and how the alert is resolved
- Resolution of all outstanding issues related to the design
- Documentation of Alerts Detail Design as described in this RFP and as defined through the JAD sessions

2.4.8.7 Task 8.7: Reports Detail Design

Concurrently with detail design sessions, the Vendor will create the design specifications for all reports. The design must include at a minimum:

- Each standardized report generated from the Recipient Subsystem and the Decision Support System
- All reports must include data map sourcing

State Responsibility

- Review and approve the final detailed design specifications for reports
- Attend walkthroughs during the design to enhance understanding of the Recipient Subsystem and to facilitate the approval process
- Ensure the availability of the identified State personnel to attend and participate in the design sessions
- Collaborate and identify which reports, if any, will be created by the State and which reports will be developed by the Vendor

Vendor Responsibility

- Collaborate with the State on the final detailed design of the layout and data mapping source for each standardized report generated from the Recipient Subsystem , inclusive of the Decision Support System
- Facilitate the Reports detail system design sessions
- Conduct walkthroughs and demonstrations during the detail system design to enhance State understanding and to facilitate the approval process
- Collaborate and identify which reports, if any, that will be created by the State and which reports will be developed by the Vendor
- Develop the final detailed design of the Reports generated by the systems

Acceptance Criteria

8.7: Reports Detail Design

- Documentation of tools related to reports development
- Identification of all reports generated by the Recipient Subsystem
- Identification of State or Vendor responsibility for the completion of each report
- Identification of source of all data that generates reports
- Resolution of all outstanding issues related to the design
- Documentation of the Report Detail Design as described in this RFP and as defined through the JAD sessions

2.4.9 Activity 9: Security

Objective

Create system security design documents that incorporate State and Federal regulation and publications along with the functional and non-functional requirements created for the new Recipient Subsystem.

Description

The detail design activities will provide a methodology for processing, capture, storage, transformation, and dissemination of information during the development of the security design. Documenting this information facilitates the successful design, development and implementation of the security for the new Recipient Subsystem. The activities associated with the security design include specifications for access for all roles and their related security level. Written approvals from the State validate the accuracy and completeness of the documents.

Deliverables

The following lists the deliverables for the Project Management activity:

- 9.1: Security Design Document

- 9.2: User Access Security Plan

2.4.9.1 Task 9.1: Security Design Document

Through the Security Design Document, the Vendor describes the approach to security design. The design must conform to the following State and Federal regulations and publications related to system security requirements and password usage:

- 45 CFR Part 95.621(f) ADP System Security Requirements and Review Process
- Standards defined in Federal Information Processing Standards (FIPS) Publications 31, 41, and 73, issued by the National Institute of Standards and Technology (NIST)
- National Institute of Standards and Technology (NIST) Special Publication 800-111 Storage Encryption Technologies for End User Devices
- National Institute of Standards and Technology (NIST) Cryptographic Module Validation List (http://csrc.nist.gov/groups/STM/cmvp/validation.html)
- FIPS PUB 112 Password Usage, Procedure
- FIPS PUB 186-3 Digital Signature Standard June 2009
- Records Usage, Duplication, Retention, Re-disclosure and Timely Destruction Procedures/Restrictions 5 U.S.C. 552a (o)(1)(F), (H) and (I)
- IRS Pub 1075
- Federal Records Retention Schedule 44 U.S.C. 3303a
- Privacy Act of 1974 at 5 U.S.C. 552a
- Computer Matching and Privacy Protection Act of 1988 (CMPPA)
- Federal Information Security Management (FISMA)
- SSA Information System Security Guidelines for Federal, State, and Local Agencies
- Child Online Privacy Protection Act
- HIPAA
- Title XIX Confidentiality Rules
- State of Alabama – Internal Memorandum 910
- State of Alabama – Standard 680-03S1_Rev B: Encryption
- State of Alabama – Standard 640-01S1: Interconnecting IT Systems
- State of Alabama – Standard 640-01S2: Secure Web Application Development
- State of Alabama – Standard 620-03S1_Rev A: Authentication - Passwords
- State of Alabama – Standard 640-02S1_Rev A: Remote Access Controls
- State of Alabama – Standard 640-02S2: Virtual Private Networks
- State of Alabama – Standard 640-02S3_Rev A: Dial-In Access/Modem Use
- State of Alabama – Standard 640-03S1: Wireless Networks

- State of Alabama – Standard 640-03S2_Rev B: Wireless Clients
- State of Alabama – Standard 640-03S3: Bluetooth Security
- State of Alabama – Standard 650-01S1: Physical Security
- State of Alabama – Standard 650-01S2: Physical Access Control
- State of Alabama – Standard 660-01S1: Application Security - Mobile Code
- State of Alabama – Guideline 660-01G1: Application Security - SQL Injection
- State of Alabama – Guideline 660-01G2: Input Validation and Data Security
- State of Alabama – Guideline 660-01G3: Database Security
- State of Alabama – Guideline 660-01G4: Error Handling
- State of Alabama – Standard 660-02S1: Laptop Security
- State of Alabama – Standard 660-02S2: PDA Security
- State of Alabama – Baseline 660-02B1_Rev A: Server Security
- State of Alabama – Baseline 660-02B2: Client Security
- State of Alabama – Guideline 660-02G2: Firewall Security
- State of Alabama – Guideline 660-02G5: Security Engineering Principles
- State of Alabama – Guideline 660-02G6: Domain Name System (DNS) Security
- State of Alabama – Standard 670-04S1_Rev A: Virus Protection
- State of Alabama – Standard 670-05S1_Rev A: Intrusion Detection and Prevention Systems
- State of Alabama – Standard 670-06S1: Log Management
- State of Alabama – Standard 670-08S1: Secure System Maintenance
- State of Alabama – Standard 680-01S1: Information Protection
- State of Alabama – Standard 680-01S2: Protecting PII
- State of Alabama – Standard 680-01S3: Removable Storage Devices
- State of Alabama – Standard 680-01S4: Media Sanitization
- State of Alabama – Standard 680-03S1_Rev B: Encryption
- State of Alabama – Policy 660-03: Application Security Testing
- State of Alabama – Standard 1210-00S1_Rev A: Online Privacy and Data Collection
- State of Alabama – Standard 1210-00S2: Universal Accessibility
- State of Alabama – Standard 1210-00S3: Online Security Statement
- State of Alabama – Standard 1210-00S4: Hypertext Linking
- OASIS Web Services Security Specification 1.1

This task should also result in a description of the Vendor's approach to ensure the security of the Recipient Subsystem and the data throughout the project lifecycle. At a minimum, the outcomes of this task shall include information on:

- Accountability which includes the approach to establishing and maintaining security responsibility and accountability
- Granting or restricting access to all the applications (including Web-enabled applications) and data; auditing security events, auditing security configurations, and changes, generating security reports, and monitoring the system for vulnerabilities and intrusions
- Managing authorized users for user creation, assignment of new User ID (User Identification)/password/personal identification numbers (PINs), role assignments, and activity monitoring
- Compliance including the approach to maintaining compliance with law, standards, and best practices
- Technical security shall include, at a minimum, the approach to each of the following:
    - Network segmentation
    - Perimeter security
    - Application security and data sensitivity classification
    - PHI and PII data elements
    - Intrusion management
    - Monitoring and reporting
    - Host hardening
    - Remote access
    - 128bit encryption
    - State-wide active directory services for authentication
    - Interface security
    - Security test procedures
    - Managing network security devices
    - Security patch management
    - Defending against viruses and mobile code
    - Detailed diagrams depicting all security-related devices and subsystems and their relationships with other systems for which they provide controls
    - Secure Sockets Layer (SSL) for providing communications security over the internet

State Responsibility

- Review and approve the Security Design Document
- Make available the appropriate personnel to participate in the Security Design JAD sessions
- Provide input and clarifications to the Vendor as needed
- Provide security policies and procedures

Vendor Responsibility

- Develop a security design that ensures all systems, procedures, and practices are fully secured and protected
- Review relevant State and Federal regulations and publications
- Document how State policies, procedures will be honored with the solution

Acceptance Criteria

9.1: Security Design Document

- Compliance with all the requirements
- Completion of walkthroughs and demonstrations of the Security Design to enhance State understanding and to facilitate the approval process
- Completion of Security Design Document according to the functional and non-functional requirements as defined in this RFP and as defined through the JAD sessions
- Provision of references to State and Federal policies within the design document

2.4.9.2 Task 9.2: User Access Security Plan

The Vendor defines the approach to user access security during this task in the User Access Security Plan. At a minimum, the outcomes of this task must include a description of the following:

- Types and relationships between the Recipient Subsystem security elements, e.g., users, groups, and roles
- Categorization of access into different security levels that will be defined by the State to include, at a minimum, users, groups, and roles
- Matrix of roles and privileges
- Screen/Window level security
- Level of authorization/security for specific functions by individual user including module level security for grouping of screens/pages
- Field level security including links that route to interfaces
- Restrictions on modifying or overriding system edits and audits or altering system functionality

- Types of online security checks, including security by individual, State defined role, location, files, and fields before allowing access to any files including data, software, code, resources, or any other files resident with or accessed by the State
- Types of Privacy Policy statements such as:
  - Privacy Policy for External users, e.g., Providers
  - Privacy Policy for Internal users, e.g., State
- Types of events that require logging in response to specific situations such as:
  - Start up and shut down of audit functions
  - Successful and unsuccessful logons and logoffs
  - Successful and unsuccessful attempts to access security relevant files and utilities, including user authentication information
  - Log information on read, modify, or destroy operations
  - Configuration changes made during auditing operations
  - Unsuccessful usage of user identification or authentication mechanisms
  - Changes to the time
  - Activities that modify, bypass, or negate system security controls
  - Use of privileged accounts
  - Administrator logons, changes to the administrator group, and account lockouts
  - Actions following log storage failure or exceeding threshold levels
  - Unsuccessful security attribute revocations
  - Modifications to user groups within a role
  - Key recovery requests and associated responses
  - Access denials resulting from excessive numbers of logon attempts
  - Blocking or blacklisting of user ID, terminal, or access port
  - Detected replay attacks
  - Rejections of new sessions based on limits to number of concurrent sessions
  - Use of compilers
  - System software installations

State Responsibility

- Review and approve the User Access Security Plan
- Make available the appropriate personnel to participate in the User Access Security Plan sessions
- Provide input and clarifications to the Vendor as needed

Vendor Responsibility

- Conduct walkthroughs and demonstrations during the User Access Security Plan development to enhance State understanding and to facilitate the approval process
- Collaborate with the State prior to completing the plan
- Prepare the User Access Security Plan, meeting the requirements as defined in this RFP and as defined through the JAD sessions

Acceptance Criteria

9.2: User Access Security Plan

- Compliance with all the requirements
- Documentation of the method used to collaborate with the State

2.4.10 Activity10: Continuity of Operations

Objective

Ensure no losses or minimize losses in the event of a disruptive event.

Description

In this activity the Vendor should provide a methodology for resumption of applications, data, hardware, communications (such as networking) and other IT infrastructure in the event of a disaster. The methodology should also address activities for the prevention and detection of an event and the regular testing of these controls and strategies to ensure the protection of data.

Deliverables

The following lists the deliverables for the Project Management activity:

- 10.1: Disaster Recovery Plan

2.4.10.1 Task 10.1: Disaster Recovery Plan

The Vendor shall develop a Disaster Recovery Plan that provides for adequate backup and recovery for all Recipient Subsystem Operations, both manual and automated, including all functions required to meet the backup and recovery. The plan must conform to the following State and Federal guidelines and standards related to disaster recovery and backup:

- Disaster Recovery Plan in accordance to the "45 CFR 95.621(f)" federal guideline
- Disaster Recovery Plan in accordance to the State of Alabama policy entitled, "Policy 700-00: Disaster Recovery"
- Disaster Recovery Plan in accordance to the Alabama Medicaid Memorandum No. 108, dated February 1, 2010, Subject: “Disaster/Recovery for Medicaid”
- State of Alabama – Standard 670-07S1: Backup and Recovery

In the Disaster Recovery Plan, the Vendor shall identify every resource that requires backup and to what extent backup is required. In addition, the Vendor must identify the software and data backup requirements. The plan must include at a minimum the following:

- Recovery procedures from all events ranging from a minor malfunction to a major disaster
- For offsite environments, roles and responsibilities of vendor, State and outsourced staff[NF28]
- Checkpoint/restart capabilities
- Retention and storage of backup files and software
- Hardware backup for the main processor
- Application and operating system software libraries, including related documentation
- Identification of the core business processes involved in the Recipient Subsystem
- Documentation of contingency plans
- Definition of triggers for activating contingency plans
- Plan for replacement of hardware and software

State Responsibility

- Review and approve the Disaster Recovery Plan
- Collaborate with Vendor to integrate recovery plans with Alabama Disaster Recovery
- Provide State policy and procedures and current recovery plans
- Provide input and clarifications to the Vendor as needed

Vendor Responsibility

- Review all Alabama State policies and procedures and current recovery plans
- Collaborate with State to create Disaster Recovery Plan
- Identify process of maintaining a current plan throughout the life of the project
- Create inventories
- Create step to step instructions on business continuity and recovery

Acceptance Criteria

10.1: Disaster Recovery Plan

- Compliance with all the requirements
- Documentation of the method used to collaborate with the State
- Documentation of how the plan meets Alabama State policies
- Documentation of the procedures on how the Recipient Subsystem and the Recipient Subsystem related documents are protected and how they can be recovered during development and operations
- Description of how inventory will be tracked in case recovery procedures are implemented

- Documentation of step to step procedures for business continuity and system recovery
- Documentation of the roles and responsibilities in recovery
- Documentation of how plan will be accessed in an emergency scenario and how the plan is secured

2.4.11 Activity 11: Training and Knowledge Management

Objective

Ensure all end users from both State and private agencies receive comprehensive training on both new procedures and the Alabama Recipient Subsystem during and after the Warranty Period. Additionally, ensure all end users receive comprehensive training on new procedures during and after the Warranty Period. Ensure that sufficient technical staff of the State receives hands-on training and classroom training to maintain and enhance the new Recipient Subsystem during and after the Warranty Period. Create and incorporate system training and knowledge management requirements into the Agency's management and human resources infrastructures in such a way as to enable the sustainment of the skill competencies required.

The Medicaid Agency faces a special challenge due to the anticipated loss of senior, experienced workers during the implementation period of the system due to retirement. Because of this, the Agency views knowledge management and training as key means to mitigate this risk. The Agency wishes to not simply have training delivered, but to have the required knowledge incorporated into its overall organizational environment, including on-going availability of innovative training materials, and the delivery such role-based items such as skill competency lists, job role descriptions, and job evaluation criteria that will help institutionalize the competencies that are being introduced to the organization. These things will be used to facilitate the Agency's expected transition to new staff and a greater level of organizational maturity in this area.

Description

This activity enables the Vendor to demonstrate an understanding of the training requirements, the Vendor's role in the training-related tasks that are needed to support the user, Data Migration and Conversion, Acceptance Testing, and Implementation Tasks of the Project. A discussion of the methods proposed to develop and deliver training necessary to ensure effective use and reliable operation of the new Recipient Subsystem shall be included. Training material shall be used during acceptance testing to verify accuracy, comprehensiveness, understandability, and usability. The State will assist in the identification of specific individuals to be included in the types of training based on the Vendor's Strategy.

The training of Agency technical support staff is a key Vendor responsibility as the State of Alabama intends to have the Agency staff ultimately assume responsibility for the operations and maintenance of the Recipient Subsystem. To prepare for this responsibility, the technical staff from both areas shall be adequately integrated with the DDI Vendor's technical team and adequately trained.

The Agency expects that all training and knowledge management material will be tested to ensure it adequately fulfills its requirements.

Deliverables

- 11.1:Training Strategy
- 11.2: Comprehensive Training Plan
- 11.3: End User Training Environment(s)
- 11.4:Training Materials V1 and *V2
- 11.5: Online User Aids
- 11.6:Training and Progress Report
- 11.7: Training Final Report
- 11.8 Project Staff Training Plan

2.4.11.1 Task 11.1:Training Strategy

In this task, the Vendor develops the Training Strategy, which includes a description of the Vendor's proposed approach to develop and deliver training to end users and IT staff.

The End User Training Strategy shall describe the proposed methods to develop and deliver both training and related documentation and shall include a discussion of the Vendor's understanding of the Agency training requirements and high-level training strategy. The strategy must also include training the trainers and creation of power users to assist with training. The approach must include 17 to 20 training participants per class and two (2) trainers per delivery, with the 2nd trainer being from the State.

In the Technical Training Strategy task, the Vendor defines the approach to identifying and meeting technical training requirements. The Technical Training Strategy will describe the methods proposed to integrate the development team, to develop and deliver both classroom training and hands-on development training. The strategy will address, at a minimum, the training requirements for technical staff for both pre- and post-implementation periods including a description of how the Vendor plans to transfer the knowledge necessary to develop, maintain, and support the applications to State IT staff.

The outcomes of this task will include, at a minimum:

- General approach to user training strategy using Vendor staff as lead trainers
- Identification of timeframe in which training shall be accomplished
- Methods for training already identified by the Agency and any additional methods recommended:
    - Joint facilitated classroom training
    - Computer Based Training (CBT)
- Training database and environment(s) for practical, hands-on exercises
- Identification of training audience/groups. This will include, as a minimum, the public, the Agency's Recipient Subsystem workers, and its technical support staff.
- Identification of training resources and materials including:
    - Integration of the Vendor's and State Recipient Subsystem team trainers

  - Space, i.e., training facilities
  - Training environment(s)
  - Equipment
- General content and proposed courses of the training, which must include, at a minimum, end user training manual, and online policy documentation
- General approach to evaluating the effectiveness of training and improvement plan
- Prerequisite IT skills required to receive knowledge transfer
- Method of technical training delivery
- Day-to-day hands-on technical training approach
- Class synopsis
- Class schedule
- Class duration
- Number of hours
- Training location

State Responsibility

- Review and approve the Training Strategy
- Provide the number of users that require training
- Collaborate on strategies for resources and materials
- Provide input and clarifications to the Vendor as needed

Vendor Responsibility

- Develop a comprehensive strategy for ensuring all staff are trained
- Develop a strategy to address the training requirements for technical staff for both pre- and post-implementation periods
- Plan, schedule, and conduct meetings with appropriate Agency staff to collaborate on strategies for resources and materials. Training will be scheduled at the earliest opportunity to ensure the longest possible Agency notification time.
- Present roles and responsibilities for the integrated development team. Develop a strategy to address the knowledge transfer to develop, maintain, and support the applications to State IT staff such as pre-requisite skills required to receive knowledge transfer, method of training delivery, day-to-day hands-on training approach, class synopsis, class schedule, class duration, number of hours, and training location.
- Lead trainer responsibilities

Acceptance Criteria

11.1: Training Strategy

- Documentation of the Training Strategy as described in this RFP
- Provision of the proposed approach and methods for training inclusive of delivery of both classroom training and hands-on development training
- Provision of enough equipment for each trainee to work independently on the computer (without sharing)
- Documentation of the timeframes for training
- Identification of the training resources and materials/equipment to be used
- Identification of the training audience/group
- Documentation of the approach for evaluating the effectiveness of the training and improvement plan
- Inclusion of regular reporting to State management regarding the skill sets of the State personnel added to the development team
- Documentation of the train-the-trainer strategy

2.4.11.2 Task 11.2: Comprehensive Training Plan

The Vendor will create the Comprehensive Training Plan to document the plan to train all staff, which includes both State and private agency staff. This plan must include at a minimum:

- Description of the group(s) who will receive training and objectives/expected results of the training
- Overview of the training curriculum
- Approach to providing training across the State (localized training, train-the-trainer, etc.) and to the pairing and integrating of selected State technical personnel with Vendor staff to facilitate the knowledge transfer during the development, system integration testing, user acceptance testing, and implementation phases of the project. Methods of training for State technical staff should include, at a minimum, the following:
    - Job shadowing, learning tasks by first hand observation of Vendor's development staff by Agency employees
    - Supervised and independent design
    - Comprehensive training of the structure and architecture of the Recipient Subsystem
    - In-depth training on base code or the base framework that shall be used for the design and development of the new Recipient Subsystem including detailed training sessions on the proposed database design and the various database objects such as packages, procedures, functions, etc.
    - Participation in the unit, functional, end-to-end, acceptance, and regression testing
- Description of the training logistics including schedule, location, duration and dates, roles and responsibilities, and identification of persons/groups who will serve as trainers
- Provision of enough equipment for each trainee to work independently without sharing computers[NF29]

- Written methodology for resolving System problems, including troubleshooting techniques, problem identification and tracking, and problem resolution
- Description of the training logistics and the skills required for the Agency technical staff. This will include schedule, location, duration and dates, roles and responsibilities, and identification of persons/groups who will serve as trainers.
- *Training environment(s) and resources including facilities, hardware, software, system documentation, and other resources to familiarize trainer with the system and post-implementation training staffing. For State technical personnel any special hardware/software access apart from full Production Environment system.
- System documentation and other resources required to familiarize the Agency technical staff with the system, produce training materials, and provide the actual training
- Description and format of the types of training materials that will be developed for training

*Note: The Vendor shall provide training, not only on the Recipient Subsystem, but also on any additional software products required to support the Recipient Subsystem. The Vendor shall also provide training, as necessary, on the various hardware and network components used during operations (i.e., scanners, Online User Aids, and policies), and the installation of the equipment. The Vendor will provide all resources necessary for training to include facilities and equipment[NF30].

State Responsibility

- Review and approve the Comprehensive Training Plan
- Collaborate on training curriculum audience, schedule, locations, duration, dates, and training materials
- Ensure availability of the technical staff that have been identified and selected to participate in the classroom training, hands-on development training, and knowledge transfer
- Provide organization chart of available technical staff qualified to participate in the classroom training, hands-on development training, and knowledge transfer

Vendor Responsibility

- Create a comprehensive plan to ensure all staff are trained prior to implementation
- Plan, schedule and conduct meetings with appropriate Agency staff to collaborate on training curriculum audience, schedule, locations, duration, dates, and training materials
- Develop a training plan that describes the group(s) who will receive training, objectives or expected results of the training, overview of the training curriculum, and approach to the pairing and integrating of selected State technical personnel with Vendor staff
- Develop a hands-on training program and classroom training materials
- Create prototypes of the types of training materials that will be developed for training
- Provide training environment(s) and resources including facilities, projectors, hardware, and software

- Provide system documentation, onsite support, and other resources to familiarize trainer with the system and post-implementation training staffing

Acceptance Criteria

11.2: Comprehensive Training Plan

- Documentation of the Comprehensive Training Plan as described in this RFP
- Inclusion of a description of the group(s) who will receive training
- Provision of an overview of the training curriculum, objectives and approach to providing training across the state (on-line training, localized training, train-the-trainer, etc.)
- Description of the training logistics including schedule, location, duration and dates, roles and responsibilities and identify persons/groups who will serve as trainers
- Inclusion of organizational charts to show mentoring and assignment of developers that will be integrated in the Vendor's team
- Documentation of the training environment(s) and resources including facilities, hardware, software, system documentation, onsite support, and other resources
- Inclusion of the description and format of the types of training materials that will be developed for training
- Documentation of the collaborative process and the outcome of these meetings

2.4.11.3 Task 11.3: End User Training Environment(s)

In this task, the Vendor will document and establish the End User Training Environment(s) and related training tools. At least one separate Training Environment shall be provided to avoid disruption of other production and implementation activities. The Training Environment(s) shall include a database that replicates the Production Environment, including copies of all software, databases, tables, and files loaded with training data sanitized so as to adhere to HIPAA and Privacy Standards[NF31].

The Training Environment(s) shall be available from the Agency network and appropriately configured to adequately emulate Web real world system use. This document shall include an inventory of all software and data stores that will be duplicated in the Training Environment(s). Note: The hardware and software required to support this task must be documented in the Comprehensive Training Plan.

State Responsibility

- Attend training on how to maintain the End User Training Environment(s)
- Test and approve the End User Training Environment(s)
- Collaborate on all Agency network requirements for the Training Environment(s)
- Add the Training Environment(s) to the Agency network

Vendor Responsibility

- Build the End User Training Environment(s)

- Provide specifications required for the Agency to add the environment(s) to the Network
- Conduct walkthrough and training of the End User Training Environment(s)
- Add de-identified data to the training environment(s) that emulates production data
- Reset training data as needed

Acceptance Criteria

11.3: End User Training Environment(s)

- Documentation of the necessary hardware and software to support the efficient ongoing operation and maintenance of the Training Environment(s)
- Provision of Training Environment(s) that mirrors the production environment
- Documentation of trainers' ability to refresh training data and environment without IT intervention

2.4.11.4 Task 11.4: Training Materials V1 and *V2

In this task, the Vendor delivers the materials for End User and Technical Training. The training materials shall be designed for hands-on use in a classroom, lab situation, computer based training for future reference by users and technical staff when the Recipient Subsystem is operational. The Vendor shall be responsible for creating an instructor's manual and a student manual to be used during all classroom sessions. The Vendor shall provide an electronic version of all end user training material, as well as hard copies of this material for review purposes and for classroom sessions. The user manual shall include additional practical exercises in the back of the manual that the end user can complete upon return to their work location. Both manuals should include curriculum by functionality, with sufficient examples and exercises to accomplish the stated training objective of assuring that end users gain the skills necessary to perform their job functions in the new Recipient Subsystem framework.

The Vendor shall also create any other necessary training aids such as presentation outlines and audiovisual materials. In addition to classroom training materials, the Vendor shall create a CBT that provides the same level of detail as classroom training; however, the web-based CBT will guide the user through each function of the system and provide direct entry and practice. Additional training materials may also include Web Based Tutorials (WBTs), videos, and virtual classrooms. An introduction to these items should be provided during the classroom training, with the intent that these materials supplement the training received by students upon their return to their work location.

As training material is developed, corresponding skill competency lists, job descriptions and performance evaluation criteria will also be developed with an aim of integrating the system human requirements into the Agency's Human Resources infrastructure. All training material must be compatible with the Agency's technical environment.

The vendor must incorporate a means by which training materials are effectively tested to ensure they fulfill their requirements and are suitable to their intended audience.

*V2 All training materials shall be updated with lessons learned from training sessions and any system enhancements and shall be delivered to, and become the property of the Alabama Medicaid Agency upon the completion of the final rollout.

State Responsibility

- Review and approve the Training Materials V1 and V2
- Attend demonstration and collaborate on training materials
- Test CBT Materials
- Provide development resource support to assist in the development of the CBT to simplify the maintenance transition

Vendor Responsibility

- Create instructor's manual and a student user manual to be used during all classroom sessions
- Develop CBT for testing
- Demonstrate the CBT
- Train staff on the use and maintenance of the CBT
- Design training materials for hands-on use in a classroom, lab situation, or future reference by technical staff when the system is operational
- Update/revise training materials to remain current with system enhancements and as a result of lessons learned

Acceptance Criteria

11.4: Training Materials V1 and V2

- Documentation and delivery of materials listed in the RFP requirements and the Training Strategy and Plan
- Provision of sufficient number of copies of Instructor and Student Training Manuals
- Materials that support end user and instructor needs written on a 7th grade level[NF32]
- Delivery of an electronic version of all end user training material, as well as hard copies of this material for review purposes and for classroom sessions
- Delivery of necessary training aids such as presentation outlines and audiovisual materials and include WBTs, videos, and virtual classrooms
- Delivery of CBT for testing
- Demonstration of the CBT
- Documentation of maintenance and change procedures for the CBT
- Delivery of revised materials based on lessons learned and system enhancements *V2

2.4.11.5 Task 11.5: Online User Aids

This task requires the Vendor to produce online policy and user aids, including web page and field help, an Online User Interface Guide, and an industry standard Electronic Performance Support System (EPSS), all functioning as an integral part of the Recipient Subsystem. The Online User Interface Guide and EPSS should be delivered in electronic format only, but also be printable by the end user if desired.

The Vendor shall design and develop the Online User Interface Guide and EPSS to include:

- Features most used in the Recipient Subsystem
- Features hardest to understand
- Problems most significant to the end user
- Features that cause the most calls to a help desk
- Features that would potentially result in less training required, supplementing the training already received
- Simulations to help the user do a task

The EPSS shall address the usage of the system from a business process (workflow) perspective, describing how to accomplish business processes associated with the new system. It should be easy to use by enabling users to quickly locate the particular help they need with options such as “How do I…?” and step-by-step procedures. The Online User Interface Guide shall link to the Agency Policy Manuals to allow the user to identify the policy or regulation directing or yielding an eligibility outcome.

State Responsibility

- Review and approve the Online User Aids
- Incorporate online aids in user acceptance testing scripts
- Provide input and clarifications to the Vendor as needed
- Collaborate with Vendor on content

Vendor Responsibility

- Incorporate online aids in system test scripts and end user training manuals
- Demonstrate Online User Aids
- Revise as needed
- Collaborate with State on content

Acceptance Criteria

11.5: Online User Aids

- Delivery of Online User Aids as described in this RFP
- Delivery of an electronic version of all online policy, user aids, and Electronic Performance Support System that is customized to the job task as an integral part of the Recipient Subsystem

2.4.11.6 Task 11.6: Training Progress Report

As an outcome of this task, the Vendor will provide a Training Progress Report on a weekly basis upon the commencement of Training. The report shall describe the method for reporting, reviewing, and improving training and shall include the following at a minimum:

- Names of persons trained
- Training date
- Length of training
- Vendor comments regarding the training session
- List of persons who were scheduled for training who did not attend
- Identify training issues and plan to address them
- Technical staff-specific recommendations for additional training based on roles and responsibilities
- Detailed report that will outline the strengths and weaknesses of individual participants with regards to the skills and expertise required for the design, development, maintenance, and operations of the Recipient Subsystem

The outcomes of this task shall also include a description of the evaluation techniques to gauge the effectiveness of training, preferably using a standard four-level evaluation approach:

- Level 1 - Trainee Satisfaction, collected at completion of training
- Level 2 - Pre-Test and Post-Test skills evaluated at the point of training
- Level 3 - Impact on Job Performance, evaluated randomly based on on-the-job-training (OJT) evaluations when the trainee is back on the job
- Level 4 - Organizational Training Impact, sampled randomly, and measured throughout the life of the contract

This evaluation process may yield updates and modifications to improve the training approach, curriculum, and materials to ensure training goals are met.

State Responsibility

- Provide review of draft report format and collaborate to obtain consensus on the report format
- Review and approve weekly reports
- Co-facilitate training sessions
- Provide input and clarifications to the Vendor as needed to complete the reports
- Identify training issues and collaborate on possible modifications to resolve issues

Vendor Responsibility

- Develop a methodology for reporting, reviewing, and improving training

- Provide training and track attendance
- Evaluate training effectiveness using the four-level evaluation approach
- Design a method to collect information from trainees and their supervisors to evaluate the effectiveness of the technical training
- Identify training issues and collaborate on possible modifications to resolve issues
- Survey State employees following completion of training and deliver results to State but unseen by instructors

Acceptance Criteria

11.6: End User Training and Progress Report

- Documentation of the Training and Progress Report as described in this RFP
- Submission of weekly reports
- Revision of weekly reports when applicable
- Provision of recommendations for improvement to the training approach, curriculum, and materials and any short term solutions to improve the following weeks training sessions

2.4.11.7 Task 11.7: End User Training Final Report

The Vendor shall provide the End User Training Final Report after completion of classroom training. The report shall cover aspects of the training activity, including at a minimum:

- Final information from the weekly classroom training reporting
- Demonstration that all training sessions were held, that training covered all areas required in the approved End User Training Plan
- Gap analysis of the difference between the pre-training State and desired state of worker proficiency in using the system to perform their daily responsibilities
- Evaluation of the readiness of trained staff to make best use of the Recipient Subsystem
- Evaluation of impact on job performance and organizational training impact statewide analysis
- Training Materials *V2

State Responsibility

- Review and approve the End User Training Final Report
- Collaborate with trainers on the recommendations for changes to the Training Materials V2

Vendor Responsibility

- Evaluation of impact on job performance and organizational training impact statewide analysis

- After training sessions are complete, plan, schedule, and conduct meetings with appropriate Agency staff to collaborate on changes needed for Training Materials V2

Acceptance Criteria

11.7: End User Training Final Report

- Provision of a final report based on the weekly reports submitted
- Provision of documentation on all sessions that were held
- Provision of documentation that all end users were trained
- Provision of a gap analysis of the difference between the pre-training state and desired state of worker proficiency in using the system to perform their daily responsibilities
- Provision of the final recommended changes that will be made for the User Training Materials V2

2.4.11.8 Task 11.8: Project Staff Training Plan

In this task, the Vendor will create the Project Staff Training Plan, which describes the Vendor's approach to preparing project staff for each phase of the project. This plan must address at a minimum training prior to the start of each activity such as how users will be trained and prepared for design sessions, requirements validation, testing, federal review, etc.

State Responsibility

- Review and approve the Project Staff Training Plan
- Supply staff to meet with Vendor to obtain a better understanding of the State's project teams training needs

Vendor Responsibility

- Develop a plan to prepare project staff for each phase of the project
- Evaluate project team needs by conducting interviews, reviewing current State practices and by reviewing lessons learned on other Recipient Subsystem/Eligibility System projects

Acceptance Criteria

11.12: Project Staff Training Plan

- Documentation of the Project Staffing Training Plan as described in this RFP
- Inclusion of all training that will be required to start each activity including timeframes, attendee suggestions, and materials that will be used
- Identification of the methodology used to create this plan

2.4.12 Activity 12: Organizational Change Management

The purpose of Organizational Change Management is to successfully support the Agency in the transition from the current business processes and organizational structure, to the future

business practices and organizational structure in a controlled way. The scope of the Organizational Change effort will be directed toward the Recipient Subsystem supported organizations – Beneficiary Services (Elderly & Disabled, Family Certification and Certification Support), Third Party Liability, Program Integrity and Non-Emergency Transportation. The Vendor will be expected to strive to integrate these change efforts with any Agency-wide Organizational Change program ongoing at the time of the development effort.

Description

The change management activity is directed at maximizing positive response to the new Recipient Subsystem by effectively managing stakeholder expectations and helping to ensure smooth adoption of the new system. It incorporates effective communication and highlights impacts on affected business processes. At a minimum, the activity limits disruption of staff and minimizes impact to client services. It should specify which activities the State will be provided support by the Vendor as the State will take the lead on this effort.

Deliverables

- 12.1: Comprehensive Organization Change Management and Communication Plan

2.4.12.1 Task 12.1: Comprehensive Organization Change Management and Communication Plan

As a result of this task, the Comprehensive Organization Change Management and Communication Plan describes the Vendor's approach to integrating the State and Vendor Recipient Subsystem staffing team and a plan to manage the expectations of varying groups of stakeholders who have different information needs. At a minimum, the plan must include:

- The rebranding and marketing strategies for the Recipient Subsystem and prepare end users for the changes to come
- The objectives, goals, and tasks to be completed as well as the timeframe for completion
- Needs, expectations, and roles and responsibilities of stakeholders
- Identification and creation of leaders and power users throughout the end-user community and the roles these leaders will have with the business transition
- Schedule for "road show" State staff
- Communication change management methods and tools

State Responsibility

- Identify State lead for management and execution of the Organization Change Plan
- Provide direction on the organization change management strategy
- Collaborate on the identification of leaders and power users
- Collaborate on the schedule
- Review and approve the Comprehensive Organization Change Management and Communication Plan
- Schedule and recruit leaders and power users

- Execute cultural change activities as identified and agreed upon

Vendor Responsibility

- Plan, schedule and conduct meetings with appropriate Agency staff to collaborate on strategies for change management and communication with all stakeholders, which includes internal project staff
- Develop organizational change strategy and the plan for communication based on meetings and feedback from State staff

Acceptance Criteria

12.1: Comprehensive Organization Change Management and Communication Plan

- Documentation of the Comprehensive Organization Change Management and Communication Plan as described in this RFP
- Inclusion of organizational charts to integrate the State and Vendor team
- Creation of a map of the locations for the “road show”
- Inclusion of enough detail to implement the change management and communication plan

2.4.13 Activity 13: Data Conversion

Objective

Ensure accurate, thorough, complete conversion of data from multiple existing systems to the new Recipient Subsystem.

Description

The conversion and migration activity includes tasks for planning, coding, and executing the conversion and migration processes. In addition, the activity includes a plan to clean up the data prior to conversion and migration. Reports will document the actual results of the execution of the conversion programs. Written approvals from the State validate the accuracy and completeness of the deliverables and the State’s agreement to proceed to the final conversion and migration of data to the production environment. Table 7 lists the core systems which will be converted. Table 8 lists the sub-systems that are being maintained to store information received through interfaces electronically.

Table 7: Core Systems for Conversion

#	Application Name	Database	Software Platform	# of Files and/or Tables	Description of the System
1	AMAES	VSAM, QSAM, And DB2	COBOL, CICS 1.7, Easytrieve Plus, BMS, Super BMS	500	The Alabama Medicaid Application and Eligibility System (AMAES) with its secondary related subsystems interfaces (automated and manual) is the primary and integral software component of the AMMIS Recipient Subsystem that binds the business functions and areas together. AMAES provides support for the three primary interrelated recipient functionalities of Beneficiary Services which includes Intake, Eligibility, and Redetermination.
2	Buy-in	VSAM And DB2			The Buy-in system is currently located on the mainframe. It receives information on those individuals who may be dual eligible.
3	NET	VSAM			The NET system tracks payments made and those individuals who receive payments for non-emergency transportation.

Table 8: Sub-Systems for Conversion

#	Application Name	Database	Software Platform	# of Files and/or Tables	Description of the System
1	EDB	VSAM			The Medicare Enrollment Database provides information used by the Agency to identified individuals who are dual Medicaid and Medicare eligible.
2	SVES	DB2			The State Verification Exchange System with SSA provides eligibility data verification and Medicare entitlement codes.
3	SDX	DB2			The State Data Exchange provides SSI eligibility and payment data.
4	BENDEX	DB2			The Beneficiary Earnings Data Exchange provides information used by the Agency to identified individuals who are dual Medicaid and Medicare eligible.
5	ALLKIDS (ADI)	VSAM			
6	ALLKIDS Inquiry	VSAM			

#	Application Name	Database	Software Platform	# of Files and/or Tables	Description of the System
7	HIPPAA Exception Inquiry/Update	VSAM			
8	Date of Death Match	VSAM and DB2			This file is used to verify the date of death.
9	Pseudo SSN file	VSAM			This file maintains history of all Pseudo SSNs.
10	Case Worker	VSAM			This file maintains caseworkers.
11	TPL Certificate of Medicaid Coverage	VSAM			
12	TPL Accounts Receivable	VSAM			
13	HIPP (Health Insurance Premium Payment)	VSAM			
14	TPL Employer Suspense	VSAM			
15	TPL Index	VSAM			
16	SSA-8019	VSAM			This system provides eligibility data such as available employer and insurance information.

Deliverables

- 13.1: Data Conversion and Migration Strategy
- 13.2: Data Conversion and Migration Plan
- 13.3: Data Cleanup Plan
- 13.4: Data Conversion and Migration Results

2.4.13.1 Task 13.1: Data Conversion and Migration Strategy

The Data Conversion and Migration Strategy will describe the Vendor's approach to converting and migrating data to the new system and validating it. The strategy shall address all data conversion and migration tasks, regardless of whether an automated or manual method is recommended.

- The general approach to be used to convert and migrate the data
- The data cleansing approach and strategies

- Volume considerations, such as the size of the database and the amount of data to be converted and migrated
- The time required for conversions and migrations
- The approach for handling obsolete or unused data that is not converted or migrated
- Approach to verification and validation to ensure the accuracy of converted and migrated data
- Description of the tools and processes to be used to control migration and synchronization

State Responsibility

- Collaborate on the Data Conversion and Migration Strategy
- Identify the appropriate source of the data
- Provide resources to assist in the conversion strategy
- Collaborate with Vendor on and approve the Data Conversion and Migration Strategy
- Provide final decision on automated or manual method for conversion

Vendor Responsibility

- Collaborate with State on the Data Conversion and Migration Strategy
- Assist State in identifying the appropriate source of the data
- Make recommendations on what data should be manually converted

Acceptance Criteria

13.1: Data Conversion and Migration Strategy

- Documentation of the Data Conversion and Migration Strategy as described in this RFP
- Documentation of the collaborated effort to identify what needs to be converted and how it will be converted
- Documentation of the source of the data conversion
- Documentation of the risks and mitigation strategies for conversion
- Documentation of the approach to verification and validation

2.4.13.2 Task 13.2: Data Conversion and Migration Plan

In the Data Conversion and Migration Plan task, the Vendor will describe in detail the plans to execute the strategy and any changes that need to be made to the strategy. At a minimum, the outcomes of this task shall include:

- Method of determining what data will be converted and migrated manually, if any
- Method of determining the order that data is to be converted and migrated

- Data conversion and migration tasks which will identify in detail the tasks and subtasks that shall be performed in order to affect necessary file conversions and migrations
- Tasks listed in order of required occurrence and include the work schedules, timeframes, and all task dependencies
- A data mapping between the current systems and the new Recipient Subsystem, a data mapping between the data elements and the associated requirement(s), a gap analysis between Alabama's existing systems and the proposed Recipient Subsystem database to determine the data that can be migrated
- Resource requirements which will identify the required personnel and equipment needed to perform each identified task and subtask
- A plan for any special training for conversion and migration activities

State Responsibility

- Collaborate with Vendor on and approve the Data Conversion and Migration Plan
- Provide resources to assist in the conversion plan
- Identify default values as appropriate
- Clarify, at the Vendor's request, data element definitions, record layouts, and file descriptions
- Fully participate in reviews of data mappings and converted data
- Collaborate on the Data Conversion and Migration Plan
- Provide data expertise and assistance

Vendor Responsibility

- Identify data requirements and source(s) of data for all files that must be converted and/or migrated necessary to support all the Recipient Subsystem processes to meet all functional requirements in this RFP
- Develop mapping of converted data to new system values
- Develop conversion software and/or manual procedures
- Develop conversion programs and procedures, engage State staff in review of data mapping
- Collaborate with the State on the development of the plan
- Identify any additional fields that must display in the design specification to support the conversion efforts

Acceptance Criteria

13.2: Data Conversion and Migration Plan

- Documentation of the Data Conversion and Migration Plan as described in this RFP
- Documentation of the collaborated effort to identify what needs to be converted and how it will be converted

- Documentation of the risks and mitigation plan for conversion
- Documentation of any impact to design specifications
- Documentation of training plan
- Documentation of the resources required to execute the plan including roles and responsibilities for both State and Vendor Staff

2.4.13.3 Task 13.3: Data Cleanup Plan

The Vendor shall develop, deliver, maintain and execute a Data Cleanup Plan to ensure all legacy data is accepted by the new Recipient Subsystem. The outcomes of this task shall include, but not be limited to, the following:

- Explanation of the strategy and methods for data cleanup
- Description of data cleanup activities
- Description of tools and procedures used to identify and report potential data issues
- Description of automated tools and procedures to automatically manipulate data
- Estimates of Vendor and State resources required to support the cleanup effort
- Data cleanup schedule
- Description of the Vendor method to substantiate error reductions
- Description of how the plan supports and adheres to the implementation plan

State Responsibility

- Review and approve the Data Cleanup Plan
- Validate the effectiveness of the data cleanup effort
- Assist in running sample queries against all data to identify data cleansing needs
- Assist in analyzing applicable applications including batch jobs to identify required changes and interfaces related to the new Recipient Subsystem application, such as client provider and fiscal systems
- Assist with data conversion and migration planning and execution
- Validate no data is lost

Vendor Responsibility

- Manage, coordinate, and participate in the data cleanup effort
- Identify and report data errors and inconsistencies that would prevent the legacy data from loading and passing validations or rules, or would cause reporting errors
- Ensure no data is lost
- Provide training required to enable the State personnel to interpret the reports and use any automated tools to correct the data
- Prepare and distribute data cleanup assessments to the designated State personnel

- Provide support for the operation of automated data cleanup tools

Acceptance Criteria

13.3: Data Cleanup Plan

- Documentation of the Data Cleanup Plan as described in this RFP
- Design, development, and delivery of automated cleanup tools
- Data cleanup process and tools that adhere to the Configuration Management Plan as defined in this RFP, including data control and recovery
- Completion of data cleanup activities according to plans prior to data conversion
- Review of data identification and data cleanup to ensure all data cleanup activities were successfully completed and the resulting data is accurate and complete
- Inclusion of status of data cleanup in the project status report and meetings and inclusion of metrics to assess the size of effort and percent complete for data cleanup

2.4.13.4 Task 13.4: Data Conversion and Migration Results

In the Data Conversion and Migration Results task, the Vendor documents the detailed results of the final conversion in production. The Vendor will include, at a minimum, information such as a description of the converted files, results of the conversion, explanation of the problem(s) that occurred (if applicable) with resolutions and a log of the final conversion.

State Responsibility

- Review and approve the Data Conversion and Migration Results
- Provide input and clarifications to the Vendor as needed
- Co-facilitate presentation for committee approval to move to the implementation phase of the project

Vendor Responsibility

- Convert data into production
- Demonstrate the successful results of the conversion
- Secure State approval of the Data Conversion and Migration Results
- Co-facilitate presentation for committee approval to move to the implementation phase of the project

Acceptance Criteria

13.4: Data Conversion and Migration Results

- Documentation of the Data Conversion and Migration Results as described in this RFP
- Inclusion of the detailed results of the conversion such as description of the converted files, results of the conversion, explanation of the problem(s) that occurred (if applicable) with resolutions, and a log of the final conversion

- Documentation of additional fields added to the Recipient Subsystem to label converted data
- Inclusion of steps that allow for review and approval of conversion into production by the State (i.e., decision point)

2.4.14 Activity 14: Development

Objective

Develop and document the new Recipient Subsystem to achieve the functional and non-functional requirements established in detail design.

Description

The purpose of the development activity is to produce executable software units that properly reflect the software design. As a result of successful implementation of the software construction process:

- Verification criteria are defined for all software units against their requirements
- Software units defined by the design are produced
- Consistency and traceability are established between software units and requirements and design
- Verification of the software units against the requirements and the design is accomplished

The Vendor shall develop and document the following:

- Each software unit and database
- Test procedures and data for testing each software unit and database
- The Vendor shall test each software unit and database ensuring that satisfies its requirements. The test results shall be documented. The Vendor shall update the user documentation as necessary.
- The Vendor shall update the test requirements and schedule for software integration

The Vendor shall evaluate software coding test results considering the criteria listed below. The results of the evaluations shall be documented.

- Traceability to the requirements and the design of the software item
- External consistency with the requirements and design of the software item
- Internal consistency between unit requirements
- Test coverage of units
- Appropriateness of coding methods and standards used
- Feasibility of software integration and testing
- Feasibility of operation and maintenance

Deliverables

- 14.1: Software Development Plan
- 14.2: Weekly Construction Summary Report
- 14.3: Development Library

2.4.14.1 Task 14.1: Software Development Plan

The Vendor will create the Software Development Plan, which shall describe the Vendor's methods and process for using a systematic, documented approach for all software development activities and the environment in which this work will be completed. The Agency operates in a Microsoft technology environment and desires solutions to make maximum use of the tools that are available in this environment. Priority will be given to designing, building, and customizing a solution that runs on SharePoint Foundation and SharePoint Server environment using the.NET Framework (Visual Basic.NET, ASP.NET, C#...) which will further the Agency's direction toward maximizing existing frameworks which the Agency can maintain in the future. The Agency has established a strategic partnership with Microsoft and uses Microsoft products throughout its infrastructure. The Agency believes a Vendor can create data-rich Web pages within SharePoint, build powerful workflow-enabled solutions, and design a look and feel of the new Recipient Subsystem that will appeal and be familiar to the intended users.

This task shall address the following elements:

- Software Development Methods – Description of the software development methods that will be used in the project, including descriptions of manual and automated tools and procedures that will be used in support of these methods
- Standards for Software Products – Description of the standards to be followed for design, code, and testing
- Coding standards for each programming language used and, at a minimum, for format, header and other comments, naming conventions, if any, use of programming language constructs or features, complexity of code aggregates, and the approach and methodology to construction
- Quality assurance activities to ensure adherence to design and development requirements

State Responsibility

- Review and approve the Software Development Plan
- Provide input and clarifications to the Vendor
- Provide qualified staff for team integration for software development

Vendor Responsibility

- Document the software development methods
- Document the standards for software products
- Document the coding standards in compliance with the following State of Alabama Medicaid guidelines and standards such as:
    - Database Coding Guidelines

  - Development and Maintenance of Database
  - Handling Special Request
  - Handling Database Objects
  - Development and Maintenance of Web Application
  - ,NET Framework Programming Language
- Document the quality assurance activities
- Identify the qualifications necessary for State development staff

Acceptance Criteria

14.1: Software Development Plan

- Use of a proven software development methodology
- Documentation of the Software Development Plan as described in this RFP
- Documentation of how State staff will be integrated in Vendor's team for software development

2.4.14.2 Task 14.2: Weekly Construction Summary Report

In the task to create the Weekly Construction Summary Report, the Vendor will design the report to summarize the work carried out during the Construction phase. The report will contain, at a minimum:

- Introduction covering the phase objectives and outcomes
- Major products developed, delivered, or updated in the phase
- Identification of all issues that have arisen during the phase and resolutions (identification of issues/risks that may impact the next phase)
- Assurance of quality assurance/product assurance review (identification of review standards for the next phase)
- Assurance of walkthrough and transfer of knowledge
- Final report that confirms that the stage is complete

State Responsibility

- Review the Weekly Construction Summary Reports
- Approve the final Weekly Construction Summary Report and confirm that the stage is complete
- Provide input and clarifications to the Vendor as needed
- Provide qualified staff for team integration the Construction phase

Vendor Responsibility

- Conduct construction

- Provide additional support to State developers
- Prepare a Weekly Construction Summary Report to the State

Acceptance Criteria

14.2: Weekly Construction Summary Report

- Documentation of the Weekly Construction Summary Report according to the requirements of this RFP
- Accessibility of reports to project staff
- Provision of comprehensive reports and identify all tests performed (failures and successes)
- Documentation of solutions and provide assurance that all issues and risks that may impact the next phase have been identified and resolved
- Documentation of the major products and deliverables developed, delivered, or updated in this phase

2.4.14.3 Task 14.3: Development Library

The Vendor will create the Development Library, which consists of the program source code, code documentation, executable software, and associated artifacts to build and operate the new Recipient Subsystem. The Agency has standardized on the Team Foundation Server as the repository for software source code this should be used as the designated source code library. At a minimum, the outcomes of this task shall include detailed descriptions of the following:

- Tools (case tools and configuration management tools) and business processes to control software development, including check-in/check-out procedures and a responsibility audit trail
- Business processes and procedures for controlling migration of code from design through coding and testing as well as promotion into production
- Organization structure to control all system development and maintenance
- Structure and maintenance of non-production environments (e.g., system integration test, user acceptance testing, training, and other environments), including the timing of the promotion of changes to the non-production environments
- Software development management process including the migration of code from design to production and including diagrams and other graphical devices to communicate the processes
- Assessment of existing Agency environments and recommendations of any changes necessary to accomplish system installation, operation and maintenance in the SharePoint 2010 environment

State Responsibility

- Collaborate with Vendor and approve the tools and business processes to control software development

- Collaborate with Vendor and approve the business processes and procedures for controlling migration of code
- Collaborate with Vendor and approve the organization structure to control all system development and maintenance
- Collaborate with Vendor and approve the structure and maintenance of non-production environments
- Collaborate with Vendor and approve the software development management process
- Participate in software development

Vendor Responsibility

- Create the Development Library
- Maintain a change control process to document discrepancies and their resolution and to manage changes to programs and libraries
- Support the review of the Development Library

Acceptance Criteria

14.3: Development Library

- Creation and management of a Development Library as described in this RFP
- Documentation of the Development Library as described in this RFP
- Documentation of the tools used to create and maintain library
- Documentation of the procedures, roles, and responsibility for the creation and maintenance of the library
- Audit trail for Development Library

2.4.15 Activity 15: System Integration

Objective

Bring together the components of development to result into one Recipient Subsystem that meets all functional and non-functional requirements.

Description

The Vendor will begin the process of bringing together component subsystems and ensuring that those subsystems function as a whole.

The purpose of the system integration activity is to integrate the system elements (including software items, hardware items, manual operations, and other systems, as necessary) to produce a complete system that will satisfy the system design in the Agency's expectations expressed in the system requirements. As a result of successful implementation of the system integration process:

- Strategies developed to integrate the system according to the priorities of the system requirements
- Criteria are developed to verify compliance with the system requirements allocated to the system elements, including the interfaces between system elements
- The system integration is verified using the defined criteria
- Regression strategies are developed and applied to retesting the system when changes are made
- Consistency and traceability are established between the system design and the integrated system elements
- An integrated system is constructed that demonstrates compliance with the system design
- An integrated system is constructed that demonstrates a complete set of usable deliverable system elements exists

The software configuration items shall be integrated, with hardware configuration items, manual operations, and other systems as necessary, into the system. The aggregates shall be tested, as they are developed, against their requirements. The integration and test results shall be documented.

For each qualification requirement of the system, a set of tests, test cases (inputs, outputs, test criteria), and test procedures for conducting system qualification testing shall be developed and documented. The developer shall ensure that the immigration system is ready for system qualification testing.

The integrated system shall be evaluated considering the criteria listed below. The results of the evaluations shall be documented.

- Test coverage of system requirements
- Appropriateness of test methods and standards used
- Conformance to expected results
- Feasibility of system qualification testing
- Feasibility of operation and maintenance

The software integration process combines the software units and software components, producing integrated software items, consistent with the software design, that demonstrate that the functional and nonfunctional software requirements are satisfied on an equivalent or complete operational platform. As a result of successful implementation of the software integration process:

- Integration strategies developers offer are consistent with the software design and prioritized software requirements
- Verification criteria for software items are developed that ensure compliance with the software requirements allocated to the items
- Software items are verified using the defined criteria

- Software items defined by the integration strategy are produced
- The results of integration testing are recorded
- Consistency and traceability are established between software design and software items
- A regression strategy is developed and applied for re-verifying software items when a change in software units (including associative requirements, design and code) occur

The Vendor shall develop an integration plan to integrate the software units and software components into the software item. The plan shall include test requirements, procedures, data, responsibilities, and schedule. The plan shall be documented.

The Vendor shall integrate all the software units and software components and test as the aggregates are developed in accordance with the integration plan. It shall be ensured that each aggregate satisfies the requirements of the software item and that the software item is integrated at the conclusion of the integration activity. The integration and test results shall be documented.

The Vendor shall update the user documentation as necessary.

The Vendor shall develop and document for each qualification requirement of the software item a set of tests, test cases (inputs, outputs, test criteria), and test procedures for conducting software qualification testing the developer shall ensure that the integrated software item is ready for software qualification testing.

The Vendor shall evaluate the integration plan, design, code, test, test results, end-user documentation according to the criteria listed below. The results of the evaluations shall be documented.

- Traceability to system requirements
- External consistency with system requirements
- Internal consistency
- Test coverage of the requirements of the software item
- Appropriateness of test and urgent method used
- Conformance to expected results
- Feasibility of software qualification testing
- Feasibility of operation and maintenance

Deliverables

- 15.1: System Integration Strategy
- 15.2: System Integration Plan

2.4.15.1 Task 15.1: System Integration Strategy

The System Integration Strategy will describe the Vendor's approach to integrating the graphical user interface, the business layer, and the data layer integrate correctly. The strategy shall

address all integration tasks, regardless of whether an automated or manual method is recommended.

- The general approach to be used to integrate the system in an iterative and progressive manner
- Description of how previous project activities and tasks support system integration
- Description of the integration of hardware and software
- Description of the various components to be integrated (i.e., code, COTS)
- Description of the tools and processes to be used
- Quality assurance activities to ensure adherence to design and development requirements
- Description of monitoring and tracking of modules that fail testing are sent back for debugging and rework
- Description of involvement of State resources in system integration

State Responsibility

- Collaborate on the System Integration Strategy
- Provide resources to assist during system integration
- Provide input and clarifications to the Vendor as needed
- Collaborate with Vendor on and approve the System Integration Strategy

Vendor Responsibility

- Collaborate with the State on the System Integration Strategy
- Document the System Integration Strategy
- Document controls for error handling

Acceptance Criteria

15.1 System Integration Strategy

- Documentation of the System Integration Strategy as described in this RFP
- Documentation of the risks and mitigation strategies for integration
- Documentation of the approach to verification and validation

2.4.15.2 Task 15.2: System Integration Plan

In the System Integration Plan task, the Vendor will describe in detail the plans to execute the strategy and any change that need to be made to the strategy. At a minimum, the outcomes of this task shall include:

- Method for determining the order of system integration

- System integration tasks which will identify in detail the tasks and subtasks that shall be performed in order to complete system integration
- Tasks listed in order of required occurrence and include the work schedules, timeframes, and all task dependencies
- Resource requirements which will identify the required personnel and equipment needed to perform each identified task and subtask

State Responsibility

- Collaborate on the System Integration Plan
- Provide resources to assist during system integration
- Provide input and clarifications to the Vendor as needed
- Collaborate with Vendor on and approve the System Integration Plan

Vendor Responsibility

- Collaborate with the State on the System Integration Plan
- Document the System Integration Plan

Acceptance Criteria

15.2 System Integration Plan

- Documentation of the System Integration Plan as described in this RFP
- Documentation of the risks and mitigation strategies for integration
- Documentation of the approach to verification and validation
- Successful putting together of the various components, assemblies, and subsystems of a system and having them work together to perform what the system was intended to do

2.4.16 Activity 16: System Implementation

Objective

Provide the environments to support efficient and effective design, development, testing, training, operation, and maintenance of the new Recipient Subsystem inclusive of a Decision Support System. Put into production a tested and operational Recipient Subsystem with minimal disruption to applicant/beneficiaries and State personnel through the provision of Help Desk Support during Pilot, implementation, and transition Help Desk Support over six months into the warranty period to Alabama Medicaid Agency.

Certify the system meets contract requirements and validate the statewide implementation process.

Description

The Vendor shall propose all Hardware and Software necessary to design, develop, test, operate, and maintain the new Recipient Subsystem based on an analysis of what is already

available to the Agency. Any technology solution proposed must adhere to Alabama standards and the Vendor must ensure that all software applications that support the operation of the Recipient Subsystem must also:

- Support interfaces with other Agency systems
- Enable workflow, document imaging and management and e-forms

This activity begins the plan for all of the hardware, software, and licenses. The scope of activity includes identification of all of the hardware, software, and licensing necessary for all environments for design, development, testing, training, implementation, operation, and maintenance of the new Recipient Subsystem. Specifications of each hardware, software and licensing recommended should be provided to ensure proper evaluation. Timeframes should be provided for each recommendation as to when it should be available in relation to the project plan.

The Pilot will include a sample county (ies) and/or offices that will participate in the initial implementation. The Pilot will involve sites representing the different types of users and user environments of the Recipient Subsystem[NF33]. The Pilot will be considered the final validation stage prior to a full statewide rollout. At completion of the Pilot, the project team will assess the results and modify implementation and support processes. Written approvals from the State validate the accuracy and completeness of the deliverables and the State's agreement to proceed to Implementation.

The Vendor shall implement all Recipient Subsystem functionality. The new Recipient Subsystem shall satisfy business and technical requirements specified in this document. All functions shall work correctly and efficiently according to the approved Implementation Plan.

Note: The Agency will purchase all proposed hardware and/or software using the competitive bid process required by the State. Due to the nature of the competitive bid process the timeframes are critical to ensure purchases are made on time. In addition, the State reserves the right to inspect and scan any equipment supplied by the Vendor for their use that will be connected to the State's network.

Deliverables

- 16.1: Hardware and Software Plan
- 16.2: Pilot Implementation Plan
- 16.3: Pilot Support and Operations Plan
- 16.4: Pilot Test and Analysis
- 16.5: Statewide Implementation Plan
- 16.6: Network & Desktop and Production Requirements
- 16.7: Final Readiness Assessment

2.4.16.1 Task 16.1: Hardware and Software Plan

The Vendor produces the Hardware and Software Plan to describe all hardware and software necessary to support an efficient and effective design, development, testing, training, and production environment for the new Recipient Subsystem. It will address the following:

Production Hardware and Software:

- An inventory of all hardware and software necessary for the new Recipient Subsystem to support the production environment
- An inventory of all hardware and software necessary for efficient ongoing operation and maintenance of the new Recipient Subsystem
- Disaster recovery provisions to include hardware and software necessary to standup DR site as the production environment

Non-production Hardware and Software:

- An inventory of all hardware and software necessary to support design, development, testing, staging and training environments
- An inventory of all hardware and software necessary for the efficient design, development, testing, staging, training, and implementation of the new Recipient Subsystem
- An inventory of any other hardware or software identified by the Vendor

State Responsibility

- Review and approve the Vendor's recommendation for Hardware and Software Plan
- Provide input and clarifications to the Vendor as needed
- Collaborate with Vendor on the necessary hardware and software and disaster recovery provisions

Vendor Responsibility

- Collaborate with State on the necessary hardware and software and disaster recovery provisions
- Collaborate with State to identify procurement, licensing and other requirements for proposed software
- Conduct ongoing reviews of the hardware and software performance and reliability to determine if hardware requires additional capacity
- Ensure that all software applications that support the operation of the new Recipient Subsystem is capable of supporting interfaces with other Agency systems and enables workflow, document imaging and management, and e-forms
- Ensure that all software applications that support the operation of the new Recipient Subsystem are supported in all environments such as production, development, staging, and test environments

Acceptance Criteria

16.1: Hardware and Software Plan

- Description of the methodology used for identifying the capacity for the Recipient Subsystem hardware and software and the support of the entire project, including at a minimum the file sizes, transaction volumes, computer loads, and response
- Documentation of the inventory for hardware and software and their use
- Inclusion of hardware and software specifications that meet all the requirements of this RFP

2.4.16.2 Task 16.2: Pilot Implementation Plan

The Vendor will explain their approach for Pilot operations including conversion and interfaces in the Pilot Implementation Plan. The plan shall also contain an overview, scope, system flow, systems components, staffing and description, job specifics and assumptions and constraints regarding the Pilot.

State Responsibility

- Review and approve the Vendor's Pilot Implementation Plan
- Collaborate with Vendor on lessons learned from other pilots conducted by the State
- Provide the location of the Pilot site(s)
- Collaborate with Vendor to identify metrics for readiness decision-making
- Collaborate with Vendor to identify alternatives to recover in the event of catastrophic failure of Pilot

Vendor Responsibility

- Evaluate lessons learned from other Agency projects that had a pilot prior to implementation
- Evaluate lessons learned from previous pilots performed by the State for the Recipient Subsystem, if any
- Conduct interviews of individuals that participated in the AMAES pilot
- Provide guidance on the type of site that would best fit test needed for Pilot
- Collaborate with State to identify metrics for readiness decision-making
- Collaborate with State to identify alternatives to recover in the event of catastrophic failure of Pilot

Acceptance Criteria

16.2: Pilot Implementation Plan

- Documentation of the Pilot Implementation Plan as described in this RFP
- Documentation of a proven methodology for the approach to Pilot operations including conversion and interfaces
- Incorporation of lessons learned from other Agency projects and any previous AMAES or Recipient Subsystem pilot experience

- Identification of the deployment strategy, deployment schedules, tasks, and activities
- Identification of the resource estimates for hardware, software, facilities, special resources, and staffing
- Identification of the staffing and description, job specifics and assumptions and constraints regarding the Pilot
- Identification of plans for installation of lines and terminals at State locations
- Identification of the potential impact of the transition to the existing infrastructure, operations, support staff, and the user community
- Documentation of risks and mitigation strategies for the Pilot

2.4.16.3 Task 16.3: Pilot Support and Operations Plan

The Vendor will create the Pilot Support and Operations Plan, which will include a description of the communication, coordination and Pilot training activities, assessment tools, and feedback processes for preparing for and conducting the Pilot. The document identifies operational facilities and equipment, and explains production and operating procedures, quality control procedures, and Pilot help desk procedures. The plan must also address staffing onsite to support end users.

State Responsibility

- Review and approve the Pilot Support and Operations Plan
- Identify field “leaders” to assist with Pilot onsite support
- Identify Agency project personnel to assist with Pilot onsite support and help desk support
- Provide input and clarifications to the Vendor as needed

Vendor Responsibility

- Define the relationships and responsibilities between the Vendor and State personnel for Recipient Subsystem operations
- Prepare the communication, coordination and Pilot training activities, assessment tools, and feedback processes for preparing for and conducting the Pilot
- Prepare operational facilities and equipment, production and operating procedures, quality control procedures, and Pilot help desk procedures
- Identify the onsite and Help Desk support needed based on Pilot location and number of end users that will participate in the Pilot

Acceptance Criteria

16.3: Pilot Support and Operations Plan

- Documentation of the Pilot Support and Operations Plan as described in this RFP and in the Pilot Implementation Plan

- Inclusion of the communication, coordination and Pilot training activities, assessment tools, and feedback processes for preparing for and conducting the Pilot
- Definition of the relationships and responsibilities between the Vendor and State personnel for the Recipient Subsystem operations
- Use of organization charts to integrate help desk and onsite support teams for Pilot
- Inclusion of operational facilities and equipment, production and operating procedures, quality control procedures, and Pilot help desk procedures

2.4.16.4 Task 16.4: Pilot Test and Analysis

The Pilot Test and Analysis task involves implementing the Pilot by demonstrating full system functionality in a live setting and documentation and correction of problems. After analyzing the results of the Pilot test, the State with support from the Vendor will determine the effectiveness of the system. Revisions to the system and training procedures will be required to tune the system for optimal performance.

State Responsibility

- Review and approve the Pilot Test and Analysis
- Participate in the Pilot implementation
- Provide input on and approve readiness of Recipient Subsystem and services to go statewide
- Review and approve the Vendor's statewide rollout strategy

Vendor Responsibility

- Conduct Pilot implementation
- Lead and Support all Pilot activity and analyze results
- Develop a statewide rollout strategy to bring all required offices onto the new system, including the satellite offices

Acceptance Criteria

16.4: Pilot Test and Analysis

- Documentation of the Pilot Test and Analysis as described in this RFP
- Documentation of results that demonstrate readiness for implementation or the modifications necessary for readiness
- Correction, at no cost to State, of any problems resulting from incorrect computer program code, incorrect data conversion, incorrect or inadequate documentation, or from any other failure to meet RFP specifications or performance standards
- At the completion of Pilot Test, provision of a formal report on the Pilot to the State which shall include, at a minimum, information on:
    - Readiness of the software for statewide use
    - Data conversion issues and current status

- Training issues and current status
- Site support activities
- Help desk support activities
- Issues, concerns, and lessons learned for statewide deployment

2.4.16.5 Task 16.5: Statewide Implementation Plan

The Vendor will create the Implementation Plan, which describes the plan for implementation and how the objectives of the plan will be achieved. At a minimum, the outcomes of this task shall include:

- A description of the activities needed immediately prior to implementation such as identifying the number, type, skill level, and roles of the personnel needed, and a definition of the issue management process
- A description of the plan to communicate the plan for implementation in coordination with change management activities
- A description of the plan to communicate the Agency's system implementation approach with impacted internal and external stakeholders[NF34]
- A description of the pre-implementation dry run of all associated procedures and processes
- A description of the implementation activities, including a description of each task and inclusion of the schedule including timelines and dependencies such as completion of training[NF35]
- Checklist of all items that must be verified prior to onset of production operations
- Checklists of work to be performed and/or outputs to be produced on the first day and at the end of the first week, month, quarter, and year of operation
- A roll back plan to include in detail what will be done if the implementation does not succeed. This plan shall include risks (decision points and triggers), identification of individual decision makers and recovery actions to be taken.

State Responsibility

- Collaborate on the implementation strategy, implementation activities, and checklists
- Review and approve the Statewide Implementation Plan
- Document the criteria for requesting the use of the roll-back plan
- Provide input and clarifications to the Vendor as needed
- Provide lessons learned from previous State roll-out

Vendor Responsibility

- Develop implementation strategy
- Collaborate on checklists of items to verify prior to the onset of operations, on the first day of operations, and at the ends of the first week, month, quarter, and year of operations

- Collaborate with State on decision points and triggers that may require roll-back
- Create procedures and processes for implementation
- Discuss with the State the benefits and disadvantages of the “big bang” implementation strategy
- Evaluate lessons learned from the Alabama MMIS interChange roll-out

Acceptance Criteria

16.5: Statewide Implementation Plan

- Documentation of the Statewide Implementation Plan as described in this RFP
- Documentation of the activities that must occur immediately, prior to, during, and after implementation
- Documentation of a dry run of all associated procedures and processes
- Use of a proven methodology for Statewide implementation
- Identification of the lessons learned, risks, and mitigation plans for Implementation
- Inclusion of a comprehensive roll-back plan and the decision points and triggers for when this action may need to be taken
- Inclusion of comprehensive checklists and the methodology used to collaborate with State on the creation of these lists

2.4.16.6 Task 16.6: Network & Desktop and Production Requirements

The Vendor will create the Network & Desktop and Production Requirements. It shall detail the needed enhancements to the State network and the Agency desktops to support the Recipient Subsystem production requirements specified in the Scope of Work section. At a minimum, the outcomes of this task shall include:

- Network Requirements Specification which will present the network configuration and identify the components needed to operate the Recipient Subsystem
- An inventory of the network, communication and data storage components necessary to support the Recipient Subsystem and its users
- All inventories that are needed, specifically what needs to be purchased, and when it needs to purchased
- An outline of how the Vendor shall ensure that all components of the architecture are compatible and can handle the specified capacity requirements

The Production Environment shall be able to support all interfaces with the Agency legacy systems and external entities and shall integrate into the existing Agency technical architecture. This document shall contain a platform architecture schematic that illustrates the technology components of the Recipient Subsystem and how State employees, providers and others accomplish access to the System. Desktop specifications will define the minimum desktop

configuration required for the Recipient Subsystem and identify the Agency desktops requiring upgrades or replacement.

State Responsibility

- Review and approve the Network & Desktop and Production Requirements
- Validate and approve the inventories and purchasing plans
- Provide input and clarifications to the Vendor as needed

Vendor Responsibility

- Evaluate the network and desktop production needs for a statewide system which must address the needs of the Private Agencies as well (all end users)
- Provide adequate time for the State to ensure infrastructure is in place
- Review current network configuration and desktops to identify needs

Acceptance Criteria

16.6: Network & Desktop and Production Requirements

- Documentation of the Network & Desktop and Production as described in this RFP
- Documentation of the Network Requirements Specification
- Inclusion of an inventory to operate the Recipient Subsystem, identification of all items required for purchase, and specification of timeframe for each purchase
- Documentation of plans (including all schematics) for operational capacity management that assures architectural compatibility and support of all interfaces within the State's required architecture
- Documentation of desktop configuration and identification of variances in inventory for the Agency equipment

2.4.16.7 Task 16.7: Final Readiness Assessment

The Vendor will create the Final Readiness Assessment to assist in the determination of final implementation readiness. Approval of this assessment constitutes the Department's decision to move forward with implementation. At a minimum, the assessment must address the following:

- Status of data migration/conversion efforts including that data conversion has been completed, converted data has been validated and approved and data entry has been completed on all data that was not included in the conversion effort, but is needed by the Agency
- Disaster Recovery is documented and ready
- User acceptance testing approval including documentation of completion of UAT and Committee acceptance of results
- Training sign-off, documentation that technical, user and super-user training has been completed and approved by State

- An Assessment Summary that includes the analysis completed, risks, and mitigation associated with implementation and a recommendation for proceeding
- Pilot Testing Approval, including documentation of completion of Pilot and Committee acceptance of results
- Readiness that all locations, system users, and security profiles have been identified and set up in the Recipient Subsystem
- System Reliability and Performance operating and is ready for deployment
- Help Desk ready and staffed for deployment
- Power-users available and ready to assist at various sites for initial deployment

State Responsibility

- Review and Approve Final Readiness Assessment
- Provide documented approval that the system is fully implemented and project team concurs with the readiness for implementation
- Co-facilitate presentation for committee approval to move to the Implementation phase of the project

Vendor Responsibility

- Certify that the Recipient Subsystem, its domains, functions, data, processes, operational procedures, staffing, telecommunications, and all other associated support are in operation
- Ensure all contingency plans are in order
- Co-facilitate presentation for committee approval to move to the Implementation phase of the project

Acceptance Criteria

16.7: Final Readiness Assessment

- Documentation of the Final Readiness Assessment as described in this RFP
- Documentation of all status of operational inception and performance as of assessment preparation date
- Delivery and acceptance of all other required deliverables
- Resolution of all issues[NF36]
- Written approvals from the State to validate the accuracy and completeness of the Final Readiness Assessment and Pilot Results
- Receipt of the State's agreement to proceed to Transition and Maintenance

2.4.17 Activity 17: Testing

Objective

Ensure the operations and hardware/software/network aspects of the new Recipient Subsystem are functioning as designed so that all functional and non-functional requirements and related system functions are complete and accurate and all requirements have been satisfied.

Description

Testing will further ensure the operations and hardware/software and telecommunications aspects of the new Recipient Subsystem are functioning as designed. The activity begins with development of the Vendor's strategy to manage the testing, followed by plans for each form of testing. Continuing deliveries of testing results reports ensures appropriate communication of the actual status of the testing. Written approvals from the State validate the accuracy and completeness of the deliverables and the State's agreement to proceed to user acceptance testing.

The Agency defines software as the code artifacts necessary to make the application function and all of the documentation necessary to produce and deliver the system. In this view, document objects (Plans, schedules, etc) are controlled for the same purposes throughout the life cycle as code objects are, even if in a different configuration management application.

The Agency regards testing in a holistic fashion throughout the entire life cycle involving both static testing (reviews, simulation, analysis) and the dynamic testing (code execution and test qualification). In each case, the Vendor and Agency has to choose and apply the appropriate level of test rigor to the tests being run. This choice will be guided by the level of risk involved. So, for example, while not every system feature will undergo every possible test, those features determined to have a high level of risk (for example, new interfaces) should have a higher level of test rigor applied from the start of their life cycle (requirements) all the way through their User Acceptance Testing. Ideally these risk-based test activities would occur as soon in the life cycle as possible.

The Agency will expect to find the same level of professional training and experience in the Vendor's testers as it finds in its developers and other staff. The Agency expects that testing is not simply a demonstration that the system works, but in addition, the added effort necessary to discover the conditions in which it does not.

The purpose of the system qualification testing processes to ensure that the implementation of each system requirement is tested for compliance and that the system is ready for delivery. As a result of successful implementation of the systems qualification testing process:

- Criteria for evaluating compliance with system requirements are developed
- The integrated system is tested using the defined criteria
- Test results are recorded
- Readiness of the system for delivery is assured

System qualification testing shall be conducted in accordance with the qualification requirements specified for the system. It shall be ensured that the implementation of each system requirement is tested for compliance and that the system is ready for delivery. The qualification testing results shall be documented.

The system shall be evaluated considering the criteria listed below. The results of the evaluations shall be documented.

- Test coverage of system requirements
- Conformance to expected results
- Feasibility of operation and maintenance

The developer shall support audits. The results of the audits shall be documented.

Upon successful completion of the audits, when conducted, the developer shall update and prepare the deliverable software product or software installation and software acceptance support.

Software Qualification Testing Process

The purpose of the software qualification testing process is to confirm that the integrated software product meets its defined requirements. As a result of the successful implementation of the software qualification testing process:

- Criteria for the integrated software is developed that demonstrates compliance with the software requirements
- Integrated software is verified using the defined criteria
- Test results are recorded
- A regression strategy is developed and applied for retesting the integrated software when a change in software items is made

The Vendor shall conduct qualification testing in accordance with the qualification requirements for the software item. It shall be ensured that the implementation of each software requirement is tested for compliance. The qualification testing results shall be documented.

The Vendor shall update the user documentation as necessary.

The Vendor shall evaluate the design, code, test, test results, and user documentation considering the criteria listed below. The results of the evaluations shall be documented.

- Test coverage of the requirements of software item
- Conformance to expected results
- Feasibility of system integration testing, if conducted
- Feasibility of operation and maintenance

The Vendor shall support audits. The results of the audit shall be documented. If both hardware and software are under development or integration, the audits may be postponed until the system qualification testing.

Upon successful completion of the audits, when conducted, the Vendor shall update and prepare the deliverable software product for system integration, system qualification, software installation, or software acceptance support as applicable.

Deliverables

- 17.1: Master Test Plan

- 17.2: Unit and Integration Test Plan and Documentation
- 17.3: System Test Plan
- 17.4: Interface Test Plan
- 17.5: Performance, Volume and Stress Test Plan
- 17.6: Conversion and Migration Test Plan
- 17.7: System Test Scripts
- 17.8: Testing Results Weekly Report
- 17.9: Conversion and Migration Weekly Test Results Report
- 17.10: Performance Monitoring Plan & Weekly Report
- 17.11: Operational Readiness Report

2.4.17.1 Task 17.1: Master Test Plan

The Test Management Plan shall address the Vendor's test strategy and outline the plan for all levels of testing. The Vendor shall address, at a minimum, the following:

- Approach to testing including testing philosophy, test data, test standards, verification approach, approach to non-testable requirements, test phases, test techniques and methods, etc.
- Testing processes including test preparations, orientation and kickoff, test execution, test monitoring, test status meetings and reporting, closure evaluation criteria, etc.
- Approach to creating the test environments needed

For each type of testing, the Vendor shall use an appropriate mix and volume of transactions and data to represent an appropriate proportion of work for that type of testing.

In addition, the Vendor must incorporate in the test strategies and plans any Alabama procedures which provide guidance for information systems engineering related project management activities and quality assurance practices and procedures.

State Responsibility

- Review and approve the Test Management Strategy
- Provide input and clarifications to the Vendor as needed

Vendor Responsibility

- Develop a strategy to testing processes and creating test environments for all levels of testing including IV&V testing collaboration

Acceptance Criteria

17.1: Master Test Plan

- Documentation of the Test Management Strategy as described in this RFP using proven methodologies and best practice
- Documentation of the training materials that will be used to provide orientation and kickoff for testing
- Identification of the tools and reports that will be used to support all testing efforts

2.4.17.2 Task 17.2: Unit and Integration Test Plan and Documentation

The Vendor will develop the Unit and Integration Test Plan to ensure that the various objects that make up the application are individually tested. This plan will document the Vendor's plan to execute and document the results of unit and integration testing, which must include at a minimum:

- User Interface Unit Test: Unit test verifies the graphical user interface (GUI) is usable and works as specified. Testing addresses navigational standards, font size, page margins, and validation that all the data fields are present. It also includes testing navigational paths, such as ensuring that using the tab key takes the user to the next appropriate field.
- Business Layer Unit Test: Unit test of the business layer ensures that both valid and invalid data are processed correctly. This occurs by testing the process as expected (valid data) or by performing "prescribed error handling" (invalid data).
- Data Layer Unit Test: Unit test of the data layer will ensure that both data queries and updates are being performed correctly
- Unit Integration Test: Unit integration test validates that the graphical user interface, the business layer, and the data layer integrate correctly

State Responsibility

- Review and approve the Unit and Integration Test Plan and Documentation
- Assign developers that will participate in the unit and integration testing
- Coordinate communications links with State and the Vendor
- Attend deliverable walkthroughs to enhance understanding and facilitate the approval process
- Provide input and clarifications to the Vendor as needed

Vendor Responsibility

- Coordinate with State on questions and problems relating to unit testing of the Recipient Subsystem
- Document detailed steps required to conduct the unit test, including expected results
- Develop the criteria for promotion from unit to integration test
- Provide tool for tracking the test to be conducted and the results of the test
- Identify mechanisms to prove results

Acceptance Criteria

17.2: Unit and Integration Test Plan and Documentation

- Documentation of the Plan for Unit[NF37] and Integration Testing , meeting the requirements as defined in this RFP
- Description of the concept for testing and State approval concept throughout lifecycle for unit and integration testing[NF38]
- Documentation of a summary of the status of unit and integration testing, including numbers of problems identified by type of problem, numbers of problems corrected, any significant outstanding issues, the effect of any findings on the Implementation schedule, and so forth
- Documentation of corrective actions taken and retest documentation for all problems identified in the initial unit and integration tests and all regression test efforts
- Provision of assurance that unit and integration testing have been performed and that software programs function correctly

2.4.17.3 Task 17.3: System Test Plan

In the System Test Plan task, the Vendor documents an agreed upon plan to test all the business processes and business edits described in the detail system design sessions and in the requirements. System test confirms that the system performs properly, both from a functional and technical perspective. This plan will document the Vendor's plan to execute system testing. The plan must include a schedule for system test. This plan must also include:

- Format that will be used for system test scripts which includes the approach to ensure end to end test scenarios will map bi-directional to business process and requirements
- How testing of all batch processes and reports generation will be incorporated in the test scripts
- Any automated tool that will be used for testing. The Agency expects the Vendor to have the capability to regression test with automation, and will evaluate this capability in the proposal.
- Regression testing procedures to ensure previously tested scripts are retested to ensure modifications to the system have not created new defects
- Testing defect management and prioritization of defects including the role of the Consultant and State teams and also including at a minimum:
    - Reporting
    - Defect Classification
    - Priority of the defect and how this is assigned
    - When a defect is a not currently part of the agreed to requirements – the escalation process
    - Closing a defect once fixed and tested

State Responsibility

- Review and approve the System Test Plan
- Attend deliverable walkthroughs to enhance understanding and facilitate the approval process
- Provide input and clarifications to the Vendor regarding tools and reports

Vendor Responsibility

- Identify functionality being tested, based on the DSD and JAD requirement sessions
- Conduct transfer of knowledge sessions to the appropriate State personnel
- Identify tools to be used and reports to be created

Acceptance Criteria

17.3: System Test Plan

- Documentation of the System Test Plan, meeting the requirements as defined in this RFP
- Finalization of the System Test Plan and securing of State approval prior to beginning the systems test phase
- Documentation of the plan to communicate the summary of the status of system testing, including numbers of problems identified by type of problem, numbers of problems corrected, any significant outstanding issues, the effect of any findings on the Implementation schedule, and so forth
- Documentation of the tool(s) to be used for system test
- Documentation of the roles and responsibilities for system test, defect prioritization, escalation of issues, and regression test
- Documentation of the timelines for system test

2.4.17.4 Task 17.4: Interface Test Plan

This task results in the Vendor's development of the Interface Test Plan to facilitate the successful testing of each interface in each phase of testing, to ensure validation of the data exchanges and to validate that the requirements have been implemented into the software as designed. The scope of this task includes all middleware, and testing through the middleware and through the partner systems components. In the Interface Test Plan, the Vendor shall also include how interface testing will be incorporated in the system test scripts.

State Responsibility

- Review and approve the Interface Test Plan
- Attend deliverable walkthroughs to enhance understanding and facilitate the approval process
- Provide input and clarifications to the Vendor as needed

Vendor Responsibility

- Coordinate with State on questions and problems relating to interface testing of the Recipient Subsystem
- Identify functionality being tested, based on the DSD and JAD requirement sessions
- Identify Agency or outside resources required[NF39]
- Conduct transfer of knowledge sessions to the appropriate State personnel
- Identify tools to be used and reports to be created

Acceptance Criteria

17.4: Interface Test Plan

- Documentation of the Interface Test Plan, meeting the requirements as defined in this RFP
- Documentation of the timelines for interface testing
- Finalization of the Interface Test Plan and securing of State approval prior to beginning the interface test phase

2.4.17.5 Task 17.5: Performance and Stress Test Plan

In the Performance and Stress Test Plan, the Vendor documents the plan to verify that the application performs within the agreed to performance requirements when under production loading. The Vendor shall document the plan to ensure performance, volume, and stress testing will be executed and documented. The plan must include at a minimum the following:

- Any automated tools that will be used to assist the Vendor with performance and stress testing
- How the Vendor performance testing will check for the availability and capability of system resources including items such as Central Processing Unit (CPU), memory, channel, etc.
- How the Vendor will measure response times, transaction rates, and other time-sensitive requirements
- Volume testing to verify that the application performs correctly and is usable with production volumes of data
- Stress testing to verify the applications behavior under conditions that overload its resources
- The results of this test must be provided for validation and verification of the tests performed

State Responsibility

- Review and approve the Performance Stress Test Plan
- Attend deliverable walkthroughs to enhance understanding and facilitate the approval process

- Provide input on performance expectations
- Provide input and clarifications to the Vendor as needed

Vendor Responsibility

- Coordinate with State on questions and problems relating to performance and stress testing of the Recipient Subsystem
- Prepare test specifications and environments in which the tests will be performed
- Document description of the performance and stress being tested, based on the DSD and JAD requirement sessions
- Conduct transfer of knowledge sessions to the appropriate State personnel
- Collaborate with State on performance expectations

Acceptance Criteria

17.5: Performance and Stress Test Plan

- Documentation of the Performance and Stress Test Plan according to the requirements in this RFP
- Provision of a test tracking system and the plan for each test type
- Documentation of detailed steps required to conduct the performance and stress test, including expected results
- Description of the data that will be used for the various tests
- Description of how each test will be performed and the types of tests to be performed
- Description of the validation process of each test to ensure proof of the results and action taken
- Description of the corrective action steps that will be taken to ensure performance passes State expectations
- Test specifications that include at a minimum types of tests to be performed, how the tests will be performed, the roles and responsibilities of personnel performing the tests and validating the results, and tools used to perform the tests

2.4.17.6 Task 17.6: Conversion and Migration Test Plan

In this task, the Vendor develops the Conversion and Migration Test Plan to facilitate the successful testing of data migration and to ensure validation of the converted and migrated data. At a minimum, testing will address all of the following:

- Test scripts
- Test environment
- Define test data
- Schedule

State Responsibility

- Review and approve the Conversion and Migration Test Plan
- Attend deliverable walkthroughs to enhance understanding and facilitate the approval process
- Provide input and clarifications to the Vendor as needed

Vendor Responsibility

- Coordinate with State on questions and problems relating to conversion and migration test plan
- Create detailed scripts required to conduct the conversion and migration test, including expected results
- Identify the approach to ensure data will not be lost in conversion
- Identify the test environment to be used and take steps to ensure the test will not interfere with other testing

Acceptance Criteria

17.6: Conversion and Migration Test Plan

- Documentation of the Conversion and Migration Test Plan according to the requirements in this RFP
- Provision of a test tracking system and the plan for each system that is being converted
- Documentation of detailed steps, dependencies, and how each test will be performed
- Description of the validation process of each test to ensure proof of the results
- Description of the corrective action steps that will be taken to prevent data loss and data integrity issues
- Test specifications that include at a minimum types of tests to be performed, test scripts, how the tests will be performed, the roles and responsibilities of personnel performing the tests, validating the results, and tools used to perform the tests
- Documentation of the plan to provide a summary of the status of conversion and migration testing, including numbers of problems identified by type of problem, numbers of problems corrected, any significant outstanding issues, the effect of any findings on the schedule, etc.

2.4.17.7 Task 17.7: System Test Scripts

The Vendor's development of the System Test Script in this task must provide the State the comprehensive test scripts prior to commencement of system testing. The Vendor's test scripts must include at a minimum:

- A description or identifier for the requirement being tested[NF40]
- Unique identifier and name for each script created

- A place to enter the tester's name for future reference
- Start and End Date field to provide documentation on when the script was initially executed and when it was completed
- Dependency Data that must be loaded in the system prior to execution of the script
- Step number and detailed instructions on what the tester must perform
- Expected results documented in detail to provide the tester with the exact results they should view when completing each test step
- Actual results to document the results of each step and document any associated defect number (when a defect is identified)
- Place for the system version to be documented

State Responsibility

- Review and approve the System Test Scripts
- Attend deliverable walkthroughs to enhance understanding and facilitate the approval process
- Provide input on end to end business processes to be used in system test scripts

Vendor Responsibility

- Coordinate with State on questions and problems relating to the test scripts
- Coordinate with State to identify "real practices" to ensure end to end testing reflects how end users will interface with the system
- Create tests scripts based on comprehensive detail design documentation

Acceptance Criteria

17.7: System Test Scripts

- Documentation of the System Test Scripts according to the requirements in this RFP and defined through the JAD sessions
- Steps to ensure any design changes are reflected in the system test scripts
- Finalization of the System Test Scripts and secure State approval prior to beginning the system test phase
- Receipt of approval of changes during testing to system test scripts in advance of executing the test script
- Provision of enough detail in the scripts to allow untrained Recipient Subsystem users to perform testing
- Inclusion of interface testing in test scripts
- Provision of comprehensive scripts that test all features of the system from end to end

2.4.17.8 Task 17.8: Testing Results Weekly Report

The Vendor develops the Testing Results and Weekly Report in this task. The report will include, at a minimum:

- A status report as demonstrated by test results, identification of any remaining deficiencies, limitations, or constraints that were detected by the testing performed
- Detailed results of the tests performed and documentation on what is to be performed the following week
- Overview of the results and status of each test script
- A test log including a chronological record of the testing covered by the report including dates, times and locations of tests performed, hardware and software configurations used for each test and the dates and times of each test related activity including individuals who performed the activity

State Responsibility

- Review the Test Results and Weekly Reports
- Approve the Final Test Results and Weekly Reports

Vendor Responsibility

- Create test log including a chronological record of the testing covered by the report including dates, times, and locations of tests performed, hardware and software configurations used for each test and include individuals who performed the activity
- Perform testing and present test results in status reports

Acceptance Criteria

17.8: Testing Results Weekly Report

- Submission of the Final Test Results and Weekly Report to the State which includes what is agreed to in the conversion test plan and what is listed in the RFP requirements
- Documentation of weekly tests performed
- Documentation of tests to be performed the following week
- Documentation of overview of the test results and status of each test
- Inclusion of documentation on defects identified, regression tests performed, and percentage of tests that passed or failed
- Explanation of any design issues that were identified as the results of that week's test and listing of all design issues to date and the plan to correct these issues
- Explanation of any performance and/or volume issues and mitigation to correct these problems
- Inclusion of any problems with the testing environments and mitigation to correct problems

2.4.17.9 Task 17.9: Conversion and Migration Weekly Test Results Report

The Vendor will create the Conversion and Migration Test Results in this task. The report will include, at a minimum:

- A status report as demonstrated by test results, identification of any remaining deficiencies, limitations, or constraints that were detected by the testing performed and a description of its impact on conversion and migration software performance, an assessment of how any differences between the test environment and the production environment affects test results and recommended improvements in the design, operation, or testing of the conversion and migration software
- Detailed results of the conversion, migration and interface testing that will include information such as a description of the test data set, results of the testing, completion status of each test case, identification of the test case with an explanation of the problem(s) that occurred (if applicable), and the test procedure step(s) in which the problems occurred, documentation of the number of times the procedure or step was repeated in attempting to correct the problem(s) and the outcome of each attempt
- A test log including a chronological record of the testing covered by the report including dates, times, and locations of tests performed, hardware and software configurations used for each test and the dates and times of each test related activity including individuals who performed the activity

State Responsibility

- Review the Conversion and Migration Weekly Test Results Reports
- Approve the Weekly Reports
- Collaborate with Vendor to determine if conversion plan requires modifications to ensure no data loss

Vendor Responsibility

- Create test log including a chronological record of the testing covered by the report including dates, times, and locations of tests performed, hardware and software configurations used for each test and include individuals who performed the activity
- Perform testing and present test results in weekly status reports
- Collaborate with State to determine if conversion plan requires modifications to ensure no data loss

Acceptance Criteria

17.9: Conversion and Migration Weekly Test Results Report

- Submission of the Weekly Report to the State which includes what is agreed to in the conversion plan and what is listed in the RFP requirements
- Documentation of weekly tests performed
- Documentation of tests to be performed the following week

- Inclusion of documentation of data conversion issues, data integrity problems, and mitigation recommendations
- Inclusion of any problems with the testing environment and mitigation to correct problems
- Documentation of the detailed results of the conversion test such as description of the converted files, results of the conversion, explanation of the problem(s) that occurred (if applicable) with resolutions, and a log of data that was converted

2.4.17.10 Task 17.10: Performance Monitoring Plan and Weekly Report

In this task, the Vendor creates the Performance Monitoring Plan, which encompasses planning for, managing, and executing the monitoring, trouble-shooting, and fine-tuning of system performance prior to full implementation of the Recipient Subsystem. The Vendor shall conduct performance monitoring and testing throughout system test, user acceptance, and Pilot period to ensure that the Recipient Subsystem performance requirements are met and that there is satisfactory user performance and interactive response time.

The plan's methodology for monitoring performance or achieving improved efficiency within the Recipient Subsystem shall include at a minimum:

- Performance monitoring tools, their purpose, and use
- Areas to be monitored for performance. At a minimum, this shall include network load, response time, query retrieval response, stress load response, database normalization impact, and screen navigation response time.

All performance monitoring results and summaries shall be made available for review on a weekly basis. At a minimum, the weekly report shall include:

- Performance summaries
- Identification of problem performance areas
- Activities underway to correct performance issues
- Performance issues resolved in the last reporting period (final report)

State Responsibility

- Review and approve the Performance Monitoring Plan
- Review and approve the Weekly Reports

Vendor Responsibility

- Prepare and submit the Final Performance Monitoring Plan and Weekly Reports to the State
- Make recommendations for changes to hardware or software requirements to improve performance
- Perform tests

- Make the necessary changes to ensure performance standards are met

Acceptance Criteria

17.10: Performance Monitoring Plan & Weekly Reports

- Documentation of a Performance Monitoring Plan and Weekly Reports to the State
- Documentation of details of performance monitoring tools and areas to be monitored for performance
- Documentation of performance monitoring weekly results and summaries including performance summaries, identification of problem performance areas, and activities underway to correct performance areas
- Documentation of performance issues resolved in the last reporting period
- Documentation of weekly tests performed
- Documentation of tests to be performed the following week

2.4.17.11 Task 17.11: Operational Readiness Report

The Vendor will produce the Operational Readiness Report, which certifies that the Recipient Subsystem, its domains, functions, data, processes, operational procedures, staffing, telecommunications, and all other associated support are in place and ready for operation. This readiness report will identify if the system, to include the Decision Support System, is ready for user acceptance testing (UAT).

State Responsibility

- Evaluate Operational Readiness Report to determine Vendor readiness for UAT
- Provide documented approval that the system is ready for UAT
- Review and Approve Operational Readiness Report
- Co-facilitate presentation for committee approval to move to the UAT phase of the project

Vendor Responsibility

- Demonstrates readiness for UAT
- Validates that all system test is complete
- Co-facilitate presentation for committee approval to move to the UAT phase of the project

Acceptance Criteria

17.11: Operational Readiness Report

- Documentation that the Recipient Subsystem, its domains, functions, data, processes, operational procedures, staffing, telecommunications, hardware, network, and all other associated support are in place and ready for operation

- Validation that user test environment is operational
- Validation that user testing stations are operational
- Resolution of all issues identified as design issues
- Resolution of all defects that prevent completion of test scripts
- Inclusion of steps that allow for review and approval of UAT readiness by the State (i.e., decision point)

2.4.18 Activity 18: Quality Assurance

Objective

The purpose of the software quality assurance process is to provide assurance that work products and processes comply with predefined provisions and plans.

Description

As a result of the successful implementation of the software quality assurance process:

- A strategy for conducting quality assurance is developed
- Evidence of software quality assurance is produced and maintained
- Problems and/or non-conformance with requirements are identified and recorded
- Adherence of products, processes and activities to the applicable standards, procedures and requirements are verified

Software quality assurance process implementation consists of the following tasks:

- The quality assurance process suitable to the project shall be established
- The objectives of the quality assurance process shall be to assure that the software products and processes employed for providing those software products comply with their established requirements and adhere to their established plans

The quality assurance process should be coordinate with the related software verification, software validation, software review, and software audit processes to ensure the standards for each are implemented. Scheduled and ongoing assurance activities and tasks shall be executed and when problems or non-conformance is with contract requirements are detected and they should be documented and serve as input to the problem resolution process. Records of these activities and tasks, their execution, problems, and problem resolutions shall be prepared and maintained. Records of quality assurance activities and tasks shall be made available to the Agency as specified in the contract.

The Vendor shall ensured that the agency project management staff responsible for assuring compliance with contract requirements have the freedom, resources, and authority to permit objective evaluations and to initiate, effect, resolve, and verify problem resolutions.

Product assurance will be obtained through the following tasks:

- All plans required by the contract are documented, comply with the contract, are mutually consistent, and are being executed as required
- Software products and related documentation comply with the contract and adhere to the plans
- Deliveries of software products have fully satisfy their contractual requirements and are acceptable to the Agency

Process Assurance consists of the following tasks.

- Lifecycle processes (supply, development, operation, maintenance, and support processes, including quality assurance) employed for the project comply with the contract and adhere to the plans
- Internal software engineering practices, development environment, test environment, and libraries comply with the contract
- Applicable prime-contract requirements are passed down to the subcontractor, if used and that and that the subcontractor software products satisfy prime-contract requirements
- The Agency and other parties are provided the required support and cooperation in accordance with the contract, negotiations, and plans
- Software product and process measurements are in accordance with established standards and procedures
- Staff assigned has the skill and knowledge needed to meet the requirements of the project and receive any necessary training

The Vendor shall provide a plan to monitor Quality Assurance throughout the life of the project. The Vendor will ensure that this plan will assess the Vendor's internal organization standards and methodologies. Although and IV&V Vendor will be performing similar tasks, it is the Agency's desire that strong internal controls will assure that products, services, and implementations of lifecycle processes meet enterprise quality goals and achieve Agency satisfaction.

Quality Assurance will further ensure the operations and hardware/software and telecommunications aspects of the new Recipient Subsystem are functioning as designed. The activity begins with development of the Vendor's strategy to manage quality assurance, followed by a plan for conducting Quality Assurance throughout the system lifecycle. Quality Assurance results reports ensure appropriate communication of the actual status of level of the Vendor's quality and should be based on verification and validation tasks, interviews, audits, predictive analysis, project reviews, staff reviews, etc.

Deliverables

- 18.1: Quality Assurance Plan
- 18.2 Quality Assurance Reviews

2.4.18.1 Task 18.1 Quality Assurance Plan

The Vendor will create the Quality Assurance Plan for the purposes of describing their approach to maintain high quality standards, achieve Agency satisfaction and ensure internal quality controls of product and processes throughout the life of the project. It will include topics such as:

- Quality standards, methodologies, procedures, and tools to be monitored
- Issue documentation, reporting and resolution
- Measurement of Agency satisfaction
- Documentation and publication with the Agency of internal review or audit findings
- Staff assigned to implementing the Quality Assurance Plan and the extent of the staff's autonomy
- Provide access to IV&V Vendor for the Agency to observe Vendor process and delivery activities in conjunction with the Vendor's Quality Assurance staff
- Provide access to IV&V Vendor for the Agency to observe Vendor process and delivery activities independently of the Vendor's Quality Assurance staff

A plan for conducting quality assurance process activities and tasks shall be developed, documented, implemented, and maintained for the life of the contract. The plan shall include the following:

- Quality standards, methodologies, procedures, and tools for performing the quality assurance activities
- Procedures for contract review and coordination thereof
- Procedures for identification, collection, filing, maintenance, and disposition of quality records
- Resources, schedule, and responsibilities for conducting quality assurance activities
- Selected activities and tasks from supporting processes, such as software verification, software validation, software review, software audit, and software problem resolution

State Responsibility

- Provide input and clarification to the Vendor as needed
- Review and approve Quality Assurance Plan

Vendor Responsibility

- Develop an approach and collaborate with State to create the Quality Assurance Plan
- Communicate to Vendor staff Quality Assurance standards and the organization's approach to monitoring

Acceptance Criteria

18.1: Quality Assurance Plan

- Documentation of the Quality Assurance Plan as described in this RFP

- Inclusion of methodology for developing the plan
- Use of industry standards (i.e., ISO/IEC, IEEE)
- Inclusion of enough detail to implement the Quality Assurance Plan

2.4.18.2 Task 18.2: Quality Assurance Reviews

During this task the Vendor conducts, documents and communicates Quality Assurance Reviews as outlined in the plan. All areas that are identified in the Quality Assurance Plan must be addressed at each review and an explanation as to why an area is 'not applicable' at the time of review must be provided. Quality Assurance Reviews must at a minimum:

- Ongoing but formally reported monthly, at each milestone, and at the special request of the Agency
- Include lessons learned at each milestone review
- Specific in regards to activities monitored, reviewed, audited, etc.
- Supported by factual basis
- Contain corrective actions to be taken when applicable
- Contain assessment of Agency satisfaction
- Reflect implementation of the Quality Assurance Plan

State Responsibility

- Review and approve the Quality Assurance Reviews
- Attend Quality Assurance presentations upon request
- Participate in assessment of Agency satisfaction

Vendor Responsibility

- Conduct Quality Assurance reviews
- Prepare reports on Quality Assurance Reviews
- Provide access to IV&V Vendor for the Agency to observe Vendor process and delivery activities

Acceptance Criteria

18.2: Quality Assurance Reviews

- Transparency to the review process
- Adherence of products, processes and activities to the applicable standards, procedures and requirements
- Supports the Quality Assurance Plan
- Predictive rather than reactive to project quality issues
- Agency satisfaction level is higher than average

2.4.19 Activity 19: Verification

Objective

The purpose of the software verification process is to confirm that each software work product and/or service of the process or project properly reflects the specified requirements. Verification activities can occur in the Quality Assurance or testing project processes, and in the Agency's Independent Verification and Validation efforts. They are included here to elaborate the nature and importance of verification activities.

Description

As a result of successful implementation of the software verification process:

- Software verification strategies developed and implemented
- Criteria for verification of all required software work products is identified
- Required verification activities are performed
- Defects are identified and recorded
- Results of the verification activities are made available to the Agency and other involved parties

A determination shall be made if the project warns of verification effort and the degree of organizational independence of that effort needed. The project requirements shall be analyzed for criticality. Criticality may be gauged in terms of:

- The potential of an undetected error in the system or software requirement for causing death or personal injury, mission failure, or financial or catastrophic equipment loss or damage
- Maturity of a risk associated with the software technology being used
- Availability of funds and resources

Based on the scope, magnitude, complexity, and criticality analysis above, target lifecycle activities and products requiring verification shall be determined. Verification activities and tasks, including associated methods, techniques and tools for performing the tasks, shall be selected for the target lifecycle activities and software products.

Based on the verification tasks determined, a verification plan shall be developed and documented. The plan for verification activities may be incorporated into the Quality Assurance or testing plans, or may stand alone. The plan shall address the lifecycle activities and software product subject to verification, the required verification tasks for each lifecycle activity in software product, and related resources, responsibilities, and schedule. The plan shall address procedures for forwarding verification reports to the Agency and other involved organizations.

The plan for verification activities shall be implemented. Problems and non-conformance is detected by the verification effort shall be entered into the software problem resolution process. All problems and non-conformances shall be resolved. Results of the verification activity shall be made available to the Agency and other involved organizations.

Verification activities consist of the following tasks:

Requirement verification shall be verified considering the criteria listed below:

- The system requirements are consistent, feasible, and testable
- The system requirements of inappropriately allocated to hardware items, software items, and manual operations according to the design criteria
- The software requirements are consistent, feasible, testable, and accurately reflect system requirements
- The software requirements related to safety, security, and criticality are correct as shown by suitably rigorous methods

The Design verification shall be verified considering the criteria listed below:

- The design is correct and consistent with and traceable to requirements. The design implements proper sequence of events, inputs, outputs, interfaces, logic flow, allocation of timing and sizing of budgets, and error definition, isolation, and recovery.
- Selected design can be derived from requirements
- The design implements safety, security, and other critical requirements correctly as shown by suitably rigorous methods

The Code verification shall be verified considering the criteria listed below:

- The code is traceable to design and requirements, testable, correct, and compliant with requirements and coding standards
- The code implements proper event sequence, consistent interfaces, correct data and control flow, completeness, appropriate allocation of timing and sizing budgets, and error definition, isolation, and recovery
- Selected code can be derived from design or requirements
- The code implements safety, security, and other critical elements correctly as shown by suitably rigorous methods

The Integration verification shall be verified considering the criteria listed below:

- The software components and units of each software item have been completely and correctly integrated into the software item
- The hardware items, software items, and manual operations of the system have been completely and correctly integrated into the system
- The integration tasks have been performed in accordance with and integration plan

The Documentation shall be verified considering the criteria listed below:

- The documentation is adequate, complete, and consistent
- Documentation preparation is timely
- Configuration management of documents follows specified procedures

Deliverables

No deliverable is required but the verification activity should[NF41] be mapped and incorporated into Quality Assurance, Testing, or other project deliverables.

2.4.20 Activity 20: Software Validation

Objective

The purpose of the software validation process is to confirm that the requirements for specific intended use of the software work product are fulfilled. Validation activities can occur in the Quality Assurance project processes, and in the Agency's Independent Verification and Validation efforts. They are included here to elaborate the nature and importance of validation activities.

Description

As a result of successful implementation of the software validation process:

- Validation strategies developed and implemented
- Criteria for validation of all work products are identified
- Required validation activities are performed
- Problems are identified and recorded
- Evidence is provided that the software products has developed are suitable for their intended use
- Results of validation activities are made available to the Agency and other involved parties

Software validation process implementation consists of the following tasks:

- A determination shall be made if a task or group of tasks warrants a validation effort, and the degree of organizational independence which that effort will require[NF42]
- If the task warrants a validation effort, a validation process shall be established to validate the system or software product. Validation tasks defined below, including associated methods, techniques, and tools for performing tasks shall be selected. If the project warrants an independent effort, a qualified organization responsible for conducting the effort shall be selected. The Agency shall be assured of the independence and authority to perform the validation tasks. A validation plan shall be developed and documented. Validation activities may be incorporate into the Quality Assurance plan or may stand alone. The plan shall include, but is not limited to, the following:
    - Items subject to validation
    - Validation tasks to be performed
    - Resources, responsibilities, and schedule for validation
    - Procedures for forwarding validation reports to the Agency and other parties

Validation activities shall be implemented. Problems and non-conformances detected by the validation effort shall be entered into the problem resolution process. All problems and non-

conformance shall be resolved. Results of the validation activity shall be made available to the Agency and other involved organizations.

The validation activity (which could be testing, analysis, modeling, simulation, or other means) consists of the following tasks:

- Prepare selected test requirements test cases and test specifications for analyzing test results
- Ensure that these test requirements, test cases, and test specifications reflect the particular requirements for the specific intended use

Conduct selected tests, including:

- Testing with stress, boundary, and singular input
- Testing the software products for its ability to isolate and minimize the effect of errors, that is, graceful degradation. Upon failure, request for operator assistance upon stress, boundary, and singular condition.
- Testing those representative users can successfully achieve their intended tasks using the software product

Validate that the software product satisfies its intended use, and test the software product as appropriate in selected areas of the target environment.

Deliverables

No deliverable is required but the validation activity may be mapped and incorporated into Quality Assurance deliverables.

2.4.21 Activity 21: Software Reviews

Objectives

The purpose of the software review process is to maintain a common understanding with the stakeholders of the progress against objectives of the agreement and what should be done to help ensure the development of a product that satisfies the stakeholders. Software reviews are at both project management and technical levels and are held throughout the life of the project.

Description

As a result of the successful implementation of the software review process:

- Management and technical reviews are held based on the needs of the project
- The status and products of activity of the process are evaluated to review activities
- Review results are made known to all affected parties
- Action items resulting from reviews are tracked closure
- Risks and problems are identified and recorded

Software review process implementation consists of the following tasks:

- Periodic review shall be held at predetermined milestones as specified in the project plan. Stakeholder should determine the need for any ad hoc reviews in which parties may participate.
- All resources that are required to conduct the reviews shall be provided. These resources include personnel, location, facilities, hardware, software, and tools.
- The parties that participate in a review should agree on the following items of each review; meeting agenda, software products (result of an activity), and problems to be reviewed; scope and procedures; and entry and exit criteria for the review
- Problems detected during the reviews shall be recorded and entered into the problem resolution process as required
- The review results shall be documented and distributed. This communication includes adequacy of review (for example, approval, disapproval, or contingent approval; of the review results.
- Participating parties shall agree on the outcome of the review, and any action item including responsibilities and closure criteria

Project management reviews consist of the following tasks:

- Project status shall be evaluated relative to the applicable project plans, schedules, standards, and guidelines. The outcome of the review should be considered by appropriate management and should provide the following:
    - Making activities progress according to plan, based on an evaluation of the activity or software project status
    - Maintaining global control of the project to adequate allocation of resources
    - Changing project direction or determining the need for alternate planning
    - Evaluating and managing the risk issues that may jeopardize the success of the project

Technical reviews consist of the following tasks and shall be held to evaluate software products or services under consideration and provide evidence that:

- They are complete
- They comply with their standards and specifications
- Changes to them are properly implemented, and affect only those areas identified by the configuration management processes
- They are adhering to applicable schedules
- They are ready for the next planned activity
- The development, operation, or maintenance is being conducted according to the plans, schedules, standards, and guidelines of the project

Deliverables

The Software Review Plan should either[NF43] be incorporated into the Quality Assurance Plan, or be a standalone plan.

2.4.22 Activity 22: Software Problem Resolution Process

Objectives

The purpose of the software problem resolution process is to ensure that all discovered problems are identified, analyze, managed and controlled resolution.

Description

As a result of his of successful implementation of the software problem resolution process:

- A problem management strategy is developed
- Problems are recorded, identified and classified
- Problems are analyzed and assessed to identify acceptable solutions
- Problem resolution is implemented
- Problems are tracked to closure
- The status of all problems reported is known

Deliverables

- 22.1: Software Resolution Plan

2.4.22.1 Task 22.1: Software Resolution Plan

A Software Resolution Plan shall be established for handling all problems (including non-conformance is) a ticket in the software products and activities. The process shall comply with the following requirements:

- The process shall be closed-loop, ensuring that; all detected problems are probably reported and entered into the problem resolution process
- Action is initiated on them
- Relevant parties are advised of the existence of the problem as appropriate
- Causes are identified; analyzed, and, where possible, eliminated; resolution and disposition are achieved
- Status is tracked and reported
- Records of the problems are maintained

The process should contain a scheme for characterizing and prioritizing the problems. Each problem should be classified by the category and priority to facilitate trend analysis and problem resolution. Analysis shall be performed to detect trends in the problems reported. Problem resolutions and dispositions shall be evaluated; to evaluate the problems that have been resolved, adverse trends have been reversed, and changes have been correctly implemented in the appropriate software products and activities; and to determine whether additional problems have been introduced.

When problems (including non-conformance is) have been detected in a software product or activity, a problem report shall be prepared to describe each problem detected. The problem

report shall be used as part of the closed-loop process described above; from detection of the problem, through investigation, analysis and resolution of the problem and its cause, and onto trend detection across problems.

State Responsibility

- Review and approve Software Resolution Plan
- Participate in the resolution process when applicable

Vendor Responsibility

- Prepare the Software Resolution Plan
- Implement the Software Resolution Plan
- Participate in the resolution process when applicable

Acceptance Criteria

22.1 Software Resolution Plan

- Documentation of process to detect, document, and track software
- Criteria for resolution to include identification of individuals responsible[NF44]

2.4.23 Activity 23: Software Audits

Objectives

The purpose of the software audit process is to independently determine compliance of selected products and processes with the requirements, plans and agreements, as appropriate. Software Audits may be incorporated into Quality Assurance planning.

Description

As a result of the successful implementation of the software audit process:

- Audit strategies are developed and implemented
- Compliance of selected work products and/or services, or processes with requirements, plans, and agreement is determined according to the audit strategy
- Audits are conducted by appropriate independent party
- Problems detected during an audit are identified and communicated to those responsible for corrective action, and resolution

Software Audit process implementation consists of the following tasks:

- Audit shall be held at predetermined milestones as specified in the project plan(s)
- Auditing personnel shall not have any direct responsibility for the software products and activities they audit
- All resources required to conduct the audit shall be agreed to by the parties. These resources include support personnel, location, facilities, hardware, software, and tools.

- The parties should agree on the following items that each audit; agenda; software products (and the results of an activity) to be reviewed; audit scope and procedures, and entry and exit criteria for the audit
- Problems detected during the audit should be recorded and entered into the software problem resolution process as required
- After completing an audit, the audit results shall be documented and provided to the audited party. The audited parties shall acknowledge to the auditing party any problems found in the audit and related problem resolutions plan.
- The parties shall agree on the outcome of the audit and any action item responsibilities and closure criteria

The software audit activity consists of the following tasks. Software audits should be included to ensure that:

- As coded, software products (such as software item) is reflective design documentation
- The acceptance review and testing requirements prescribed by the documentation are adequate for the acceptance of the software products
- Test data comply with the specification
- Software products were successfully tested to meet their specifications
- Test reports are correct and discrepancies between actual and expected results have been resolved
- User documentation complies with the standards are specified
- Activities have been conducted according to applicable requirements, plans, and contract
- The cost and schedules adhere to the established plans

Deliverables

Software Audit planning may be incorporated into the Quality Plan, or may stand alone as a plan.

2.4.24 Activity 24: Software Acceptance

Objectives

The purpose of the software acceptance support process is to assist the Agency to achieve confidence that the product meets requirements.

Description

As a result of the successful implementation of the software acceptance support process:

- The product is completed and delivered according to the Agency
- Agency acceptance tests and reviews are supported
- The product is put into operation in the Agency's environment

- Problems detected during acceptance are identified and communicated to those responsible for resolution. (Incremental delivery would be in completed increments).

Software acceptance support consist the following tasks:

- The developer shall support the Agency's acceptance review and testing of the software product
- Acceptance review and testing shall consider the results of software reviews, audits, software qualification testing, and system qualification testing, if performed
- The results of the acceptance review and testing shall be documented
- The support includes documentation and communication of problems detected during acceptance testing to those responsible for resolution
- The developer shall complete and deliver the software product as specified in the contract
- The developer shall provide initial and continuing training and support to the Agency as specified in the contract

Deliverables

Software Acceptance planning can be included in UAT planning, so long as Agency support of acceptance is provided to any delivery throughout the lifecycle

2.4.25 Activity 25: User Acceptance Testing

Objectives

Implement a vigorous user acceptance testing (UAT) process in order to put into production a tested and operational Recipient Subsystem with minimal disruption to applicant/beneficiaries and State personnel. The Agency regards UAT to be an incremental process that may occur throughout the lifecycle, culminating with a system-level acceptance.

Description

While the Agency will take the lead on conducting UAT, the Vendor is responsible for participating and supporting the State users in acceptance testing of the entire Recipient Subsystem. UAT enables the State to ensure that the new Recipient Subsystem meets the functional, technical, and operational requirements of the Agency. This activity includes preparation of test environment, specifying dates and time for end users to conduct testing, training on any tools to assist end users on how test results will be produced, viewed, and results reported. Testing will further ensure the operations and hardware/software and telecommunications aspects of the new Recipient Subsystem are functioning as designed. Written approvals from the State validate the accuracy and completeness of the deliverables and the State’s agreement to proceed to Pilot.

Certify the system meets contract requirements and validate the statewide implementation process.

Deliverables

- 25.1: UAT Test Environment and Tools
- 25.2: Weekly UAT Status Reports
- 25.3: Operational Readiness Report

2.4.25.1 Task 25.1: UAT Test Environment and Tools

In the UAT Test Environment and Tools task, the Vendor will create a test environment specifically for the purposes of user acceptance testing, which shall be a copy of the production environment. The Vendor will be responsible for the creation and maintenance of the UAT environment.

State Responsibility

- Attend training for UAT
- Test and approve the UAT environment and tools
- Lead the acceptance test activities
- Create user acceptance test scripts
- Provide data dependency to Vendor for load
- Create the acceptance test schedule
- Identify and schedule testers
- Conduct tests and validate results
- Track any problems and or discrepancies
- Document results
- Test system processes from end to end including the use of converted data, interfaces, performance, and volume

Vendor Responsibility

- Create test environment and make corrections as needed
- Ensure that all modifications to the Recipient Subsystem software or files are thoroughly unit and system tested prior to transferring new versions to UAT
- Ensure that data is converted to the UAT test environment and data parameters are approved by the State
- Assist with the acceptance test schedule and procedures including such activities as running batch jobs, etc[NF45].
- Provide the capability to roll back the test database to checkpoint status and the frequency of refresh[NF46]
- Assist State in implementation of the acceptance test with respect to generation of test transactions, data, and files, as well as analysis of reasons for unanticipated processing results

- Provide appropriate staff in UAT room to provide technical and/or business assistance to support State testing

Acceptance Criteria

25.1: UAT Test Environment and Tools

- Creation and maintenance of a test environment specifically for the purposes of user acceptance testing
- Provision of training to the acceptance testing team and subject matter experts to assist in understanding the Recipient Subsystem, defect tracking system, and testing procedures
- Provision of an acceptance test tracking system which will record scenarios, indicate status, track test results, and produce reports by functional area and status to be used for all phases of testing
- Steps to ensure that the UAT environment mirrors the production environment , including both controlled test data and representative real production data[NF47]
- Execution of acceptance test cycles according to an agreed upon schedule

2.4.25.2 Task 25.2: Weekly UAT Status Reports

The Vendor will provide this weekly report to document activities related to UAT and to identify issues and problems discovered during user acceptance testing for each week of testing. At a minimum, the report must include documentation of individual problems found including the problem statement, tester name, date, resolution provided, and name of the person providing resolution, plan for further testing, summary of problems found, and a graphic representation of problem resolution progress from week to week.

State Responsibility

- Review and approve the Weekly UAT Status Reports
- Monitor Vendor response and resolution of discrepancies or problems
- Approve the final Weekly UAT Status Report
- Document weekly tests performed
- Document tests to be performed the following week
- Provide input on the report format, contents of the report, and distribution of the report

Vendor Responsibility

- Provide timely responses to discrepancy notices
- Develop a State approved report

Acceptance Criteria

25.2: Weekly UAT Status Reports

- Creation and distribution of the Weekly UAT Status Reports including a description of all problems/defects identified for each week of testing and the corrective steps taken
- Correction, at no cost to State, of any problems resulting from incorrect computer program code, incorrect data conversion, incorrect or inadequate documentation, or from any other failure to meet RFP specifications or performance standards

2.4.25.3 Task 25.3: Operational Readiness Report

In the Operational Readiness Report task, the Vendor will certify that the Recipient Subsystem, its domains, functions, data, processes, operational procedures, staffing, telecommunications, and all other associated support are in place and ready for operation. This readiness report will identify if the system is ready for Pilot test.

State Responsibility

- Review and Approve Operational Readiness Report to determine system readiness
- Co-facilitate presentation for committee approval to move to the Pilot phase of the project

Vendor Responsibility

- Certify that the Recipient Subsystem, its domains, functions, data, processes, operational procedures, staffing, telecommunications, and all other associated support are in place and ready for operation
- Secure documented State approval that the system is ready for Pilot Test
- Co-facilitate presentation for committee approval to move to the Pilot phase of the project
- Demonstrates readiness for Pilot

Acceptance Criteria

25.3: Operational Readiness Report

- Documentation that the Recipient Subsystem, its domains, functions, data, processes, operational procedures, staffing, telecommunications, hardware, network, and all other associated support are in place and ready for operation
- Steps to ensure that conversion to support Pilot is ready
- Resolution of all issues identified as design issues
- Resolution of all defects that prevent use in production
- Inclusion of steps that allow for review and approval of UAT completion by the State (i.e., decision point)
- Documentation that the Disaster Recovery and Business Continuity support for the system is ready.

2.4.26 Activity 26: Software Implementation Process

Objectives

The purpose of the software implementation process is to produce a specified system element implemented as a software product or service. This process transforms specified behavior, interfaces and implementation constraints into actions that create a system element implemented as a software product or service, otherwise known as a "software item." This process results in a software item that satisfies architectural design requirements through verification of stakeholder requirements through validation.

Description

As a result of the successful implementation of the software implementation process:

- An implementation strategy is defined
- Implementation technology constraints on the design are identified
- The software item is realized
- The software item is packaged and stored in accordance with an agreement for its supply. In addition to its activities, the software implementation has the following lower-level processes:
    - Software Requirements Analysis Process
    - Software Architectural Design Process
    - Software Detailed Design Process
    - Software Development Process
    - Software Integration Process
    - Software Testing Process

Software Implementation Strategy activities consist of the following tasks. The Vendor shall define or select a lifecycle model appropriate to the scope, magnitude, and complexity of the project. The lifecycle shall be comprised of stages in the purpose and outcomes of each stage. The activities and tasks of the software implementation process shall be selected and mapped into the lifecycle model. These activities and tasks may overlap or interact and may be performed iteratively or recursively.

The developer shall:

- Document the outputs in accordance with the software documentation management process
- Place the outputs under the configuration management process and perform change control in accordance with it
- Document and resolve problems and non-conformance is found in the software products and tasks in accordance with the software problem resolution process
- Perform supporting processes as specified in the contract
- Establish baselines and incorporate configuration items at appropriate times, as determined by the Agency and the Vendor

The Vendor shall select, tailor, and use those standards, methods, tools and computer languages (if not specified in the contract) that are documented, appropriate, and established by the agency for performing the activities of the software implementation process and supporting processes. Implementation technology constraints on the design should be identified as part of the software implementation strategy.

The Vendor shall develop plans for conducting activities of the software implementation process. The plans should include specific standards, methods, tools, actions, and the responsibility associated with the development and qualification of all requirements including safety and security. If necessary, separate plans may be developed. These plans shall be documented and executed.

Non-deliverable items may be employed in the development or maintenance of the software product. However, it shall be ensured that the operation and maintenance of the deliverable software product after its delivery to the Agency are independent of such items; otherwise, those items should be considered as deliverable.

Deliverables

Software implementation planning is incorporated into the other lifecycle plans noted. The Software Implementation Process is included here to demonstrate the expected integration of these activities in an integrated Vendor lifecycle.

2.4.27 Activity 27: Transition and Maintenance

Objective

The purpose of the Transition and Maintenance Process is to provide cost-effective support to the transition and realization of a delivered software product. Pre-delivery software maintenance processes include planning for post-delivery operations, supportability, and logistics determination. Post-delivery Activities include software modification and operational support, such as training or operating a help desk. The Vendor ensures that operational support and continuing maintenance of the new Recipient Subsystem is successfully transitioned to the State.

Description

As a result of successful implementation of this process:

- Maintenance strategies developed to manage modification and migration of products according to the release strategy
- The impact of changes to the existing system on organization, operations or interfaces are identified
- Affected system in software documentation is updated as needed
- Modification products are developed with associated tests that demonstrate their requirements are not compromised
- Product upgrades are migrated to the Agency's environment
- The system software modification is communicated to all parties

Process implementation requires the maintainer to develop, document, and execute plans and procedures for conducting the activities and tasks of the software maintenance process. The maintainer shall establish procedures for receiving, recording, and tracking, problem reports, and modification requests from the users and providing feedback to the user. Whenever problems are encountered, they shall be recorded and entered into the problem resolution process. The maintainer shall implement (or establish organizational interfaces with). The configuration management process for managing modifications to the existing system.

The Problem and Modification, Analysis Process consists of the following tasks:

- The maintainer shall analyze the problem report or modification request for its impact on the organization, the existing system, and the interfacing systems for the following:
    - Type; for example, corrective, improvement, preventative, or adaptive to new environment
    - Scope; for example, size of modification, cost involved, time to modify
    - Criticality; for example, impact on performance, safety, or security
- The maintainer shall replicate or verify the problem. Based on the analysis, the maintainer shall develop options for implementing the modification.
- The maintainer shall document the problem/modification request, the analysis results, and implementation options
- The maintainer shall obtain approval for the selected modification option as selected in the contract

In the Modification Implementation activity the maintainer shall conduct analysis and determine which documentation, software units, and versions thereof need to be modified. They shall be documented.

Test evaluation criteria for testing and evaluating the modified and the unmodified parts (software units, components, and configuration items) of the system shall be defined and documented. The complete and correct implementation of the new and modified requirements shall be ensured. It shall be ensured that the original, unmodified requirements were not affected. The test results shall be documented.

The Maintenance Review/Acceptance activity consists of the following tasks:

- The maintainer shall conduct reviews with the organization authorizing the modification to determine the integrity of the modified system
- The maintainer shall obtain approval for the satisfactory completion of the modification as specified in the contract

The Migration activity consists of the following tasks:

- If the system or software product (including data) is migrated from an old to a new operational environment, it shall be ensured that any software product or data produced or modified during migration is in accordance with the contract
- A migration plan shall be developed, documented and executed. The planning activity shall include users. Items included in the plan include the following:

  - Requirements analysis and definition of migration, development of migration tools, conversion of the software product and data, migration execution, migration verification, and support for the old environment in the future, if applicable
- Users shall be given notification of the migration plans and activities. Notification shall include the following:
  - Statement of why the old environment is no longer to be supported
  - Description of the new environment with the state of availability
  - Description of other support options available, if any, once support for the old environment has been removed
- Parallel operations of the old and new environments may be conducted for smooth transition to the new environment. During this period necessary training shall be provided as specified in the contract. When the scheduled migration arrives, notification shall be sent to all concerned. Associated old environment documentation, logs and code should be placed in archives.
- A post-operation review shall be performed to assess the impact of changing the environment. The results of the review shall be sent to the Agency for information, guidance, and action.

Data used by or associated with the old environment shall be accessible in accordance with the contract requirements for data protection and audit applicable to the data, if any.

The Vendor is responsible for planning for and preparing State staff to support the new Recipient Subsystem through training and knowledge transfer. Activities and timeframes for the transition to operations and maintenance are defined in the plan. Evaluations and operating procedures provide information to keep the new Recipient Subsystem in use most effectively. Updated documentation ensures that all affected personnel have the needed information to support and use the new Recipient Subsystem.

Deliverables

- 27.1: Transition Plan
- 27.2: Post-Implementation Evaluations
- 27.3: System Updated Documentation

2.4.27.1 Task 27.1: Transition Plan

The Vendor will create the Transition Plan, which describes the activities and timelines necessary to transition the operations and maintenance of the new Recipient Subsystem to State staff, including training, mentoring, and hands-on experience, and identifying the components and criteria required to perform final transition to State staff. It shall, at a minimum, include:

- Transition planning information which defines the approach, activities and schedule for the transition including plans for the Vendor's assistance in performing operations and maintenance prior to and during the one-year Warranty Period. The transition planning section will include the readiness assessment approach and a transition activity matrix,

which lists each State staff person to be included in transition activities, identifies the activity that each person will be involved in, and provides the schedule for each activity by person.

- Final system turnover - The final system turnover shall include things such as system performance monitoring and tuning, all software used to operate the system, updated source code, production control and system operations, up-to-date documentation, etc.
- Staffing recommendation to enable State staff to take over the ongoing operations and maintenance of the new Recipient Subsystem. The staffing recommendation shall include a recommendation for staffing levels by position, an organizational chart, and roles and responsibilities descriptions for each position.
- Final System Turnover Assessment, which consists of two components:
    - An analysis of the system against any new Federal and State mandates, any outstanding design considerations not part of the current contract, and an assessment of staff readiness to support the system, including an identification of areas that present risk to the turnover
    - Turnover results report documenting completion and results of the turnover plans, as well as current system status information, outstanding problems, and recommendations for system enhancements, if any. This is completed upon successful turnover to the State.

State Responsibility

- Review and approve the Transition Plan
- Provide appropriate State technical staff to support operations and maintenance of the new Recipient Subsystem
- Participate in the transition activities, according to the agreed-upon the Transition Plan
- Assume primary responsibility for Operations
- Secure budget for staffing to support the operations and transition period

Vendor Responsibility

- Assess the readiness of State technical staff to assume full operations and maintenance of the new system
- Provide warranty support (break fix) during the Warranty Period including monitoring system processing and performance
- Complete knowledge transfer and transition for State staff to support the new system

Acceptance Criteria

27.1: Transition Plan

- Documentation of the Transition Plan as described in this RFP
- Inclusion of comprehensive detailed organization charts with roles and responsibilities
- Provision of a final turnover result report
- Correction of any outstanding defects in the system prior to transition

2.4.27.2 Task 27.2: Post-Implementation Evaluations

The Vendor will conduct post-implementation evaluations, report on the evaluations, and develop an improvement plan regarding the effectiveness of the implementation. The purpose of the Post-Implementation Evaluation is to assess:

- Whether the implementation achieved the defined goals
- Is the Recipient Subsystem operating efficiently and effectively
- What is the level of acceptance of the Recipient Subsystem by users
- Is the Decision Support System operating efficiently and effectively
- What is the level of acceptance of the Decision Support System by users
- Was the training effective
- Are the users following the defined policies and processes
- Are there areas for business improvement

The Vendor will prepare and execute a plan to conduct two post-implementation evaluations, the first one scheduled for six months following implementation, and the second one after one year, at the end of the Post-Implementation Support Period.

Following each post-implementation review, the Vendor will be required to prepare a written Implementation Review report recapping each review session and providing an assessment of the implementation status.

In addition to the Implementation Review Report, the Vendor will submit an Implementation Improvement Recommendation Report outlining recommendations for improvement to the Recipient Subsystem implementation. The final Implementation Improvement Recommendation Report will summarize overall findings and project status, and identify recommended activities for improvement to be undertaken in the medium and long-term. A comparison of actual performance to goals will be included.

State Responsibility

- Review and approve Post Implementation Evaluation
- Identify and provide appropriate State staff to participate in post-implementation evaluations
- Collaborate on format and content for evaluation

Vendor Responsibility

- Develop evaluation format and content
- Obtain input for evaluations
- Analyze and summarize results of post-implementation evaluations
- Develop recommendations for improvement

Acceptance Criteria

27.2: Post-Implementation Evaluations

- Documentation of the Post Implementation Evaluation as described in this RFP
- Documentation of future enhancement recommendations based on the analysis conducted for final turnover
- Inclusion of lessons learned

2.4.27.3 Task 27.3: System Updated Documentation

The Vendor shall submit to the State the current and complete versions of all Recipient Subsystem documentation in a form and content consistent with all applicable State standards. This documentation will include, but is not limited to:

- Requirements documents that provides the State how each requirement was met
- System architecture and design documents, which are updated with any changes that occurred during design, development, testing, and implementation
- Development Library, which includes any changes made from the original documentation (created in development)
- Training materials, which include any changes needed based on lessons learned during training and implementation

State Responsibility

- Review and approve all updated deliverables
- Collaborate with Vendor on which deliverables require revisions
- Take over maintenance of updated documentation

Vendor Responsibility

- Identify which deliverables require revisions
- Discuss the identified deliverables with State to ensure there is a comprehensive list

Acceptance Criteria

27.4: System Updated Documentation

- Updating and submission of all deliverables that required revisions
- Complete, accurate, and up-to-date documentation at transition

2.4.28 Activity 28: Documentation Management

Objective

The purpose of the software documentation management process is to develop and maintain the recorded software information produced by process.

Description

As a result of the successful implementation of the software documentation management process:

- The strategy identifying the documentation to be produced during the lifecycle of the software product or services developed
- The standards to be applied for the development of the software documentation are identified
- Document specification templates are used to establish agreed-upon outlines for each document type
- Documentation to be produced by the process or project is identified
- The content and purpose of all documentation as specified, reviewed, and approved through the use of document specification templates
- Documentation is developed and made available in accordance with identified standards
- Documentation is maintained in accordance with defined criteria

During design and development each identified document shall be designed in accordance with applicable documentation standards for medium, format, content description, page numbering, figure/table placement, proprietary/security, marketing, packaging, and other presentation items. The documentation may originate and may terminate in any form (verbal, textual, graphical, and numerical). The source and appropriateness of input data for the documents shall be confirmed through the use of a document-specific documentation template approved by the Agency not less than 30 days before its intended use. Automated documentation support tools may be used. The prepared documents shall be reviewed and edited for format, technical content, and presentation style against their documentation standards. They shall be approved for adequacy by authorized personnel prior to use.

The Production Activity consists of the following tasks:

- The document specification template and completed document shall be produced in provided in accordance with the plan. Production and distribution of documents may use paper, electronic, or other media, master material shall be stored in accordance with the requirements for record retention, security, maintenance, and backup.
- Control shall be established in accordance with the software configuration management process

The Maintenance activity consists of the following tasks:

- The tasks of the software maintenance process the required when documentation is to be modified, shall be performed. For those documents that are under configuration

management, modification shall be managed in accordance with the software configuration management process.

Deliverables

- 28.1: Document Management Plan
- 28.2: Document Template Specifications for each document type

2.4.28.1 Task 28.1: Document Management Plan

Software documentation management process implementation consists of a plan, identifying the documentation to be produced during the lifecycle of the software product. There shall be developed, documented, and implemented. For identified documentation, the following shall be addressed:

- Title or name
- Purpose and content
- Intended audience
- Procedures and responsibilities for inputs, development, review, modification, approval, production, storage, distribution, maintenance, and configuration management
- Schedule for immediate and final versions

State Responsibility

- Review and Approve Document Management Plan

Vendor Responsibility

- Produce Document Management Plan
- Implement Document Management Plan
- Audit processes for conformity to the Document Management Plan

Acceptance Criteria

28.1 Document Management Plan

- The strategy identifying the documentation to be produced during the lifecycle of the software product or services is developed
- The standards to be applied for the development of the software documentation are identified
- Documentation to be produced by the process or project is identified
- The content and purpose of all documentation as specified, reviewed, and approve
- Documentation is developed and made available in accordance with identified standards
- Documentation is maintained in accordance with defined criteria

2.4.29 Activity 29: Operations

Objective

The purpose of the software operation processes to operate the software product in its intended environment and to provide support to the Agency of the software product. The Agency expects the Vendor to prepare the Agency for its role as Operator of the system, and that operational support and continuing maintenance of the new Recipient Subsystem is successfully transitioned to the State.

The Agency expects that the system will be supported by two help desk systems – the first will be public facing, and will receive and service calls from the recipients of benefits. This call center will be an Agency responsibility. The Vendor will be required to produce a plan for this capability and deliver it to the Agency for implementation.

The second call center capability is that of an Agency-internal help desk for functional or technical assistance with the Recipient Subsystem. This will be a vendor responsibility to plan and implement. This call center will be functional at IOC and will continue to be staffed for six months following IOC.

The Vendor will put into production a tested and operational Recipient Subsystem with minimal disruption to applicant/beneficiaries and State personnel through the provision of Help Desk Support during implementation, and transition Help Desk Support over six months into the warranty period to Alabama Medicaid Agency.

Description

As a result of the successful implementation of the software operation process:

- An operation strategy is defined
- Conditions for the correct operation of the software in its intended environment are identified and evaluated
- Software is tested and determined to operate in its intended environment
- The software is operated in its intended environment
- Assistance and consultation is provided to the Agency of the software product, in accordance with the contract

The Preparation for Operation activity consists of the following tasks. The operator shall develop a plan and set operational standards for performing activities and tasks of this process. The plan shall be documented and executed. The operator shall establish procedures for receiving, recording, resolving, tracking problems, and providing feedback. Whenever problems are encountered, they shall be recorded and entered into the software problem resolution process. The operator shall establish procedures for testing the software product in its operational environment, for entering problem reports and modification requests to the software maintenance process, and for releasing the software product for operational use.

Operation Activation and Checkout: For each release of the software product, the operator shall perform operational testing, and on satisfying the specified criteria, releases software product for operational use. The operator shall ensure that the software code and databases initialize,

execute, and terminate as described in the plan. The operator shall activate the system in its intended operational situation to deliver instances of service or continuous service according to its intended purpose.

Continuous service capacity and quality will be maintained when the system replaces an existing system that is being retired. During the specified period of changeover or concurrent operation, manage the transfer services so that the continuing conformance to the persistent stakeholder needs is achieved.

Operational Use is defined by the following tasks. The system shall be operated in its intended environment according to the user documentation. Operating in the intended environment includes developing criteria for operational use so that compliance with agreed requirements can be demonstrated, and performing operational testing of each release of the product, assessing satisfaction again specified criteria. Risks to product operation are identified and monitored. The operator monitors operational services on a regular basis, where appropriate, against defined criteria.

Customer Support is defined as having the operator provide assistance and consultation to users as requested. These request and subsequent actions shall be recorded and monitored. Assistance and consultation includes the provision of training, documentation, and other support services supporting effective use of the product. The operator shall forward user requests as necessary to the software maintenance process for resolution. These requests shall be addressed and the actions that are planned and taken shall be reported to the originators of the requests. All resolutions shall be monitored to conclusion.

In the Operational Problem Resolution activity the operator shall forward identified problems to the software problem resolution process. If a problem is reported, as a temporary workaround before permanent solution can be released, the originator of the problem report shall be given the option to use it. Permit corrections, releases that include previously omitted or functions or features, and systems improvements shall be applied to the operational software product using the software maintenance process.

The Vendor is responsible for planning and preparing State staff to support the new Recipient Subsystem through training and knowledge transfer. Activities and timeframes for the transition to operations and maintenance are defined in the plan. Evaluations and operating procedures provide information to keep the new Recipient Subsystem in use most effectively. Updated documentation ensures that all affected personnel have the needed information to support and use the new Recipient Subsystem.

The Vendor shall provide the written help desk procedures and the staff required to respond to user questions regarding the Recipient Subsystem that State Help Desk staff are unable to solve during the Pilot deployment. The Vendor will ensure that, prior to the start of Pilot, a Help Desk support system is available and Help Desk staff is trained in the new Recipient Subsystem. The Vendor staff shall provide backup support to State Help Desk staff after the Pilot deployment. The Help Desk Plan and the Help Desk Transition Plan must clearly state the roles and responsibilities during the Pilot and through Implementation. The Procedure manual will specify the processes to follow to support the Help Desk.

Deliverables

- 29.1: Operating Procedures

- 29.2: Help Desk Transition Plan
- 29.3: Help Desk Plan; Public Help Desk Plan

2.4.29.1 29.4: Help Desk Procedures Manual Task 29.1: Operating Procedures

The Vendor will document the Operating Procedures to assist programmers and other technical staff in operation and maintenance of the system. These procedures help define and provide understanding of system operations and performance. The operations procedures will address all facets of the technical operation of the system including the following topics:

- System troubleshooting and system tuning procedures
- System administration procedures, such as copy file management and code management
- System interface processing procedures
- Online and batch processing procedures
- System backup and recovery procedures
- System password and user ID maintenance procedures
- Unique processing procedures
- Report generation procedures
- Menu structures, chaining, and system command mode operations procedures
- Job scheduling/dependencies procedures, if applicable
- Job cycles (daily, weekly, monthly, quarterly, annually, and special) procedures, if applicable
- System monitoring tools procedures

State Responsibility

- Review and approve Operating Procedures
- Take over maintenance of operating procedures manuals
- Collaborate on the content and format of the Operating Procedures

Vendor Responsibility

- Collaborate on the content and format of the Operating Procedures
- Create manuals

Acceptance Criteria

29.1: Operating Procedures

- Documentation of the Operating Procedures as described in this RFP
- Provision of comprehensive manual that supports Recipient Subsystem operations

2.4.29.2 Task 29.2: Help Desk Transition Plan

The Vendor will provide and execute a Help Desk Transition Plan, which outlines all activities necessary for an orderly turnover to the Agency of all help desk activities including usage of scripts and decision trees.

State Responsibility

- Review and approve User Help Desk Transition Plan
- Collaborate with Vendor to create a timeframe for turnover

Vendor Responsibility

- Review lessons learn from Pilot and implementation
- Incorporate best practices and lessons learned into the transition plan
- Create a checklist of all the necessary activities for transition

Acceptance Criteria

29.2: Help Desk Transition Plan

- Documentation of the Help Desk Transition Plan as described in this RFP and Help Desk Plans
- Documentation of the necessary steps, resources, and activities that must be completed to transition the help desk

2.4.29.3 Task 29.3: Help Desk Plan, Public Facing Help Desk Plan

The Vendor will create the Agency-Internal Help Desk Plan for operations, including integrated Vendor and State staffing, communications, procedures, and reporting mechanisms. It will include topics, such as appropriate Vendor and State staffing levels, skills required, role of power-users, response times, and call routing.

The Vendor will also create a Public Facing Help Desk Plan to address the need for the Agency to respond to requests for help from the public. This plan will be delivered to the Agency for Agency implementation.

State Responsibility

- Provide input and clarification to the Vendor as needed
- Review and approve Help Desk Plan and Public Facing Help Desk Plan
- Provide State staffing to support Help Desk
- Identify location and hours of operation of the Help Desk

Vendor Responsibility

- Develop an approach and collaborate with State to create the Agency-Internal Help Desk Plan
- Develop an approach and collaborate with the State to create the Public Facing Help Desk Plan
- Document qualifications of Help Desk staff
- Provide Vendor staff to answer questions that State staff are unable to answer
- Provide Vendor staffing plan to support Help Desk

Acceptance Criteria

29.3: Help Desk Plan

- Documentation of the Help Desk Plan as described in this RFP
- Inclusion of methodology for developing the plan
- Inclusion of organization charts to document the State and Vendor integrated team
- Documentation of the State versus Vendor roles and responsibilities

2.4.29.4 Task 29.4: Help Desk Procedures Manual

The Vendor will create the Help Desk Procedures Manual, which defines and documents the help desk processes and procedures for both the Agency-Internal Help Desk and the Public Facing Help Desk. These procedures will include at a minimum, problem identification and initial diagnosis, problem escalation procedures, problem ticketing, problem logging, assignment of priority, and ability to search through previous problems to find resolutions for new problems.

State Responsibility

- Provide input and clarification to the Vendor as needed
- Review and approve Help Desk Manuals
- Collaborate on procedures

Vendor Responsibility

- Collaborate with staff on the procedures needed to support the Help Desks
- Review State's current problem escalation, ticketing, logging, and assignment procedures
- Make recommendations for improvement on current procedures

Acceptance Criteria

29.4: Help Desk Procedures Manual

- Documentation of the Help Desk Procedure Manuals as described in this RFP
- Inclusion of methodology for developing the procedures and manuals

2.4.30 Activity 30: Federal Review and Certification

Objective

Have all information needed for CMS review and monitoring activities.

Description

At the earliest opportunity after implementation, the State plans to request a federal review in order to determine if the Recipient Subsystem is federally compliant. The Vendor will assist the State in preparing for and conducting these reviews.

Deliverables

- 30.1: Assist with Federal Review

2.4.30.1 Task 30.1: Assist with Federal Review

The Vendor shall prepare documentation for submission to the Federal Government to support Federal review and approval of the Recipient Subsystem. The Vendor will create the Federal Review and Monitoring Package, which documents the CMS Review and Monitoring activities that lead up to a final official review. The Review and Monitoring Package will be used to help assure a successful review of the new Recipient Subsystem post-implementation. The Federal Review and Monitoring Package will include at a minimum:

- Complete Review and Monitoring Activity Documentation
- Complete Review of any deficiency found in interim review
- Any System documentation requested for the review which may include:
    - System Documentation
    - User Manual Version
    - Operating Procedures
    - Acceptance Test Results
    - Substantive and representative sample of reports

State Responsibility

- Schedule with CMS for Review and Monitoring
- Obtain any additional documentation required by CMS for their onsite review
- Lead the coordination of the Federal Review and Monitoring activities
- Approve the composition of the Review and Monitoring team
- Provide Agency resources to participate in the Review and Monitoring activities

Vendor Responsibility

- Support monitoring activities as requested prior to completion of contract
- Create the necessary documentation needed for the CMS review
- Provide resources onsite to support the Agency in the review process

Acceptance Criteria

30.1: Federal Review and Monitoring Package Interim and Final Review

- Documentation of the Federal Review and Monitoring Package Interim and Final Review as described in this RFP
- Documentation of any corrective action plans or next steps needed based on the review
- Delivery of any additional materials requested by CMS

2.5 Functional and Non-Functional Requirements

The Recipient Subsystem requirements are listed in Appendix C. A mandatory Requirements Response Matrix for the mandatory/optional functional and non-functional requirements is provided in Appendix D Requirements Response Matrix.

In the Requirements Response Matrix, the Vendor must note the degree to which their proposed solution currently (at the time of proposal submission) meets each requirement in an operational production environment. This form must be completed and returned as part of the proposal.

2.6 Vendor Staffing Requirements

2.6.1 Key Personnel Requirements

General Personnel Information

This subsection describes Vendor staffing requirements applicable to the Design, Development and Implementation task. These staffing requirements will cover the time period from Contract signing through CMS certification. The Vendor shall provide qualified staff necessary to provide DDI services required for the successful implementation of the Recipient Subsystem.

- The Vendor's response to this RFP must include a staffing plan that details the organization of Project staff, location of Project staff (onsite or offsite), and clearly defines the strategy for managing communication between local and remote staff. The staffing plan must indicate staffing levels during all phases of the Project.
- The Vendor must provide a project and organizational chart showing all personnel by classification who will be assigned to this Project and their related responsibilities
- At a minimum, the Vendor will provide an Account Manager and Project Manager who will interact directly with the Agency's Recipient Subsystem Deputy Project Manager on a regular basis. The Project Manager will be expected to participate in weekly status meetings with the Agency's Recipient Subsystem Deputy Project Manager and project team members to include the IV&V and QA leads as well as various Agency subject matter experts.
- It is strongly believed that a competency in sound project management principles is critical to the success of any project awarded by the State. Therefore, the successful Vendor will demonstrate a competency in this area, including project management methodology, supporting tools, and qualified resources. Vendors should propose staff with experience in projects using Microsoft.NET, SOA, SQL, and rules engines.

Key Personnel Positions

1. The Vendor must provide a resume and two professional references for each of the following key personnel:
   a. Account Manager
   b. Project Manager
   c. Deputy Project Manager
   d. Business Architect
   e. Systems Architect
   f. Database Coordinator
   g. Data Conversion Manager
   h. Interface Manager
   i. Testing Lead
2. The Department requires that the Project Manager be assigned full time, for the duration of the DDI phase. The Project Manager shall have at a minimum the following qualifications:
   a. Five years recent experience as project manager of substantive projects involving governmental data processing projects, implementation of a transfer system, Medicaid claims processing systems, or other eligibility systems.
   b. Current certification as a Project Management Professional (PMP) by the Project Management Institute (PMI).
   c. Recent, high level management in health and human service or social service systems environments, preferably with Medicaid systems or other similar large scale automated claims processing, eligibility, or benefit management systems.
   d. Experience directing and successfully managing from start to finish information technology (IT) projects with aggressive timelines.
   e. Previous experience with an MMIS or with major components of an operational MMIS, including experience with CMS federal certification.
   f. Familiarity with the technical architecture and functionality of the proposed base system.
   g. Ability to facilitate a positive and collaborative working environment leading individuals to perform at high levels. Ability to drive negotiation and acceptance of changes within the project.
   h. Ability to implement a successful communication plan. Demonstrated experience in establishing and maintaining clear mechanisms to communicate project status and change with the project team and project stakeholders.
   i. Demonstrated experience overseeing the development and implementation of changes as necessary to ensure that projects remain within specified scope and are within time, cost, quality objectives, and meet the requirements.

j. A thorough knowledge of and experience with software development methodologies, and experience leading structured development activities for Medicaid eligibility, MMIS, and web based projects.

3. The Agency requires that the other key personnel be assigned full time for the duration of the DDI phase. The Key Personnel shall have at a minimum the following qualifications:

    a. At least two relevant engagements within the past 5 (five) years or at least 3 (three) years recent experience with Medicaid eligibility systems or other similar large scale automated claims processing, MMIS, eligibility or benefit management systems.

    b. Three years experience directly related to the key position.

4. The key personnel must be located onsite, full-time, in Montgomery, Alabama until the system has been fully implemented and the Project Manager, Business Architect and Systems Architect will be located onsite until the system has been certified by CMS. The Vendor shall provide sufficient staff to cover the functional areas of data conversion, system testing, quality assurance, and other requirements of the RFP.

Resumes

1. Project Manager: The Vendor should provide a resume not to exceed five pages in length for the Project Manager candidate that must address the stated minimum qualifications, the amount of time the candidate has been employed by the Vendor, and the following:

    a. The individual's project management experience, including project type, project role, and duration of assignment.

    b. Medicaid related experience and experience managing any part of a Medicaid development project.

    c. Description of extent of familiarity with the proposed eligibility solution and ancillary processing systems.

2. Other Key Personnel: The Vendor must provide a resume not to exceed three pages for each of the other key personnel on the project team. The Vendor is required to demonstrate that their Vendor(s) or employee(s) will have the skills necessary to meet the objectives of this project. Each resume must address at a minimum:

    a. The individual's project experience, including project type, project role and the duration of assignment.

    b. Experience directly related to the key position for which the individual is proposed

    c. Description of extent of familiarity with the proposed eligibility solution and ancillary processing systems.

    d. Experience in the design, development, testing, and implementation of an MMIS, other medical claims processing or an eligibility system.

    e. Amount of time the individual has been employed by the Vendor.

    f. Summary of educational qualifications.

3. Resumes for all key staff must include three references with at least one client reference for an MMIS, eligibility or another system development project similar in size and scope to the Recipient Subsystem project.

Additional Requirements:

Additional requirements to be considered for Vendor staff are as follows:

- Letters of commitment signed by the proposed PM and other key personnel stating their commitment to work for the Contractor/sub-contractor on this project contingent on award of the bid[NF48]
- The Vendor staff shall be available after hours as required by the Agency Project Management
- Individuals in key positions may not be assigned new or additional contract assignments outside the State of Alabama contract, reassigned, replaced, or added during the project without the prior written consent of the Recipient Subsystem Project Manager
- The Agency shall have the right to approve or disapprove the Vendor's and any subcontractor's key personnel assigned to these contracts, to approve or disapprove any proposed changes in key personnel, or to require the removal or reassignment of any key personnel found unacceptable by the Agency. The Agency will have the opportunity to interview and approve potential replacements for key staff.
- The Vendor shall notify the Recipient Subsystem Project Manager in writing of any proposed change in key personnel at least 30 calendar days prior to the change or as soon as change is known. The Vendor shall have 30 calendar days in which to fill vacancies of key staff with another employee of acceptable technical experience and skills subject to prior written approval of the Agency, such approval not to be unreasonably withheld. The Vendor shall at all times maintain the performance standards and meet all functional requirements of the Contracts.
- No Vendor initiated change in key personnel shall be approved until a replacement has been approved by the Agency
- Onsite facility space will be the responsibility of the Agency as explained in 2.1.2 above. The Agency will provide office space in Montgomery, Alabama for a limited number of onsite Vendor staff.

3 VENDOR RESPONSE FORMAT

3.1 Introduction

This section describes the format and requirements for the Vendor's submission of their proposals. Vendors shall build their proposal responses according to the formats, requirements and the order of items as defined in each section below. Each Vendor's proposal response shall be divided into two parts as described in Section 3.2.1 Proposal Response General in addition to providing the required number of copies as specified in Section 3.2.2 Business Response Format.

3.2 Proposal Submission Requirements

Sealed proposal packages shall be mailed to:

Alabama Medicaid Agency
P. O. Box 5624
501 Dexter Avenue - Room 8026C
Montgomery, Alabama 36103-5624
Attention: John Napier

Or, delivered to:

Alabama Medicaid Agency
501 Dexter Avenue
Montgomery, Alabama 36103-5624

Attention: John Napier – Room 8026C

Proposals submitted, in whole or in part, by modem or fax will be rejected. Late responses will not be accepted.

Proposals must be received by the Recipient Subsystem Project Manager no later than the date and time specified in the Section C – Procurement Timetable. It is the responsibility of the Vendor to ensure the proposal is delivered by the time specified. Proposals received after that time will not be considered.

3.2.1 Proposal Response General

This document outlines the qualifications which must be met in order for an entity to serve as Vendor. It is imperative that potential Vendors describe, **in detail,** how they intend to approach the Statement of Work specified in Section 2 of this RFP. The ability to perform these services must be carefully documented, even if the Vendor has been or is currently participating in a Medicaid Program. Proposals will be evaluated based on the written information that is presented in the response. This requirement underscores the importance and the necessity of providing in-depth information in the proposal with all supporting documentation necessary.

The Vendor must demonstrate in the proposal a thorough working knowledge of program policy requirements as described, herein, including but not limited to the applicable Operational Manuals, State Plan for Medical Assistance, Administrative Code and Code of Federal Regulations (CFR) requirements.

Entities that are currently excluded under Federal and/or State laws from participation in Medicare/Medicaid or any State's health care programs are prohibited from submitting proposals.

The Proposal Response must present a complete and detailed description of the Vendor's qualifications to perform and its approach to carry out the requirements of this RFP. Any deviations in the Vendor's Proposal Response from the outline described could disqualify that proposal due to evaluation considerations. Other requirements for the RFP include the use of:

- 8.5 x 11-inch paper Font size of 11 points or larger shall be used, except in tables and charts where a font size of 10 points is acceptable
- Clearly page-numbered on the bottom (center or right) of each page

Brochures or other presentations, beyond that sufficient to present a complete and effective response, are not desired. Audio and/or videotapes are not allowed. Elaborate artwork or expensive paper is not necessary or desired. While the appearance of proposals and professional presentation is important, the use of non-recyclable or non-recycled glossy paper is discouraged.

A maximum page limit has been set for some sections of the Proposal Response. Vendors are required to respect these page limits to facilitate a timely and responsive evaluation. Pages in excess of these limits will be removed during Phase II of the Proposal Evaluation Process in the evaluation of Mandatory Requirements.

Each Vendor may submit one proposal. Vendors must submit one original and ten hard-copy versions of the Technical Proposal Response in binder form plus two electronic versions on Compact Disc (CD), jump drive, or disc. One electronic copy MUST be a complete version of the Vendor's response and the second electronic copy MUST have any confidential/proprietary information removed.

All copies must be clearly labeled with the Vendor name. The original hard-copy version shall be identified as such and shall include the transmittal letter with the original signature; the Price Sheets and the RFP proposal sheet (refer to 3.2.2.1, 3.2.4 and Appendix T). Electronic versions shall be submitted in MS Word 2007 or Adobe Portable Document Format (PDF) version 7 or higher.

The original and each copy of the Vendor's proposal response package must be marked in accordance with the specifications below. Each proposal shall be submitted in two parts, Technical Proposal and Cost Proposal, the format and content of which are specified in the following subsections. Each part (Technical and Cost) shall be identified with the cover pages as provided in the following subsections.

The Cost Proposal including Price Sheets must be in a separately sealed envelope from the Technical Proposal (see Section 3.2.4).

3.2.2 Technical Proposal Format

The first group of documents in the proposal response package should be marked as the "**Technical Proposal**". Each Vendor's proposal response package submitted for the **Technical Proposal** must contain the items listed below in the order listed:

- RFP Proposal Sheet
- Cover Page for Technical Proposal
- The Letter of Transmittal
- Executive Summary
- Company Overview
- Use of Subcontractors
- Relevant Business Experience
- Approach and Methodology for Proposed Solution
- Approach and Methodology for Statement of Work
- Project Plan
- Proposed Staffing
- Relevant Technical Experience
- Agency Responsibilities
- Financial Status
- Requirements Response Matrix

The following sections provide a description of each of the bullet items above.

3.2.2.1 RFP Proposal Sheet

The Technical Proposal shall include the proposal sheet signed in ink, notarized and completed per the Alabama Medicaid Agency specifications and included as the first document of the **original Technical Proposal**. The notary can appear at the bottom of the page. The section for the "Firm and Fixed Priced" should be left blank when accompanying the Technical Proposal. A copy of the original completed Alabama Medicaid Agency RFP Proposal Sheet must be included in each required copy in the specified order.

3.2.2.2 Cover Page for Technical Proposal

The cover page for the **Technical Proposal** should be a single page formatted and marked according to the technical proposal example provided on the next page. This page shall be used to identify the Vendor's **Technical Proposal** section of their proposal.

The cover page for the **Technical Proposal** shall be a full and first page of this section marked as follows:

Alabama Medicaid Agency

Recipient Subsystem Phase II

TECHNICAL PROPOSAL

RFP #:

Opening Date: [enter proposal opening date]

Company Submitting the Proposal: _____

Proposal Submitted By (Company Representative): _____

3.2.2.3 Transmittal Letter

The Transmittal Letter shall be submitted on official business letterhead by the prime Vendor and shall be signed by an individual authorized to commit the company to the scope of work proposed.

The Transmittal Letter shall contain all of the following:

- Identification of all materials and enclosures being submitted collectively as a response to this RFP
- Identification of the Vendor who will be the prime Vendor and the name of the corporation or other legal entity submitting the proposal. It shall also include a statement identifying any and all subcontractors, if any, who are needed in order to satisfy the requirements of this RFP. The percentage of work, as measured by percentage of total contract price, to be performed by the prime Vendor shall be provided. Subcontracted work shall not collectively exceed 40 percent of the total contract price. The Vendor shall assume sole and exclusive responsibility for all of the Vendor Responsibilities and work indicated in the RFP (including any and all addenda). If no subcontractor is proposed, a statement shall be made identifying that fact.
- A statement that the prices proposed were arrived at independently without consultation, communication, or agreement with any other Vendor or competitor for this procurement
- A statement that the person signing this proposal is authorized to make decisions on behalf of the Vendor's organization as to the prices quoted
- A Disclosure Statement completed and submitted with the proposal required pursuant to Alabama Act 2001-955, located in Appendix H – Disclosure Statement or on the Attorney General's web site at the following address[NF49]: http://www.ago.state.al.us/ag_items.cfm?Item=70

Note: Any Subcontractors bid in this proposal must also complete a Disclosure Statement which is to be submitted with the proposal.

The transmittal letter must be signed by an individual authorized to commit the company to the work proposed. No reference is to be made to any pricing information or elements of cost. ***If any element of cost is referred to in the Transmittal Letter, the Vendor shall be disqualified. Note: Inclusion of the*** **percentage of work, as measured by percentage of total contract price, to be performed by the prime Vendor (see bullet 2 above) without reference to any monetary price will not violate the element of cost provision.**

3.2.2.4 Executive Summary

The executive summary will condense and highlight the contents of the Technical Proposal in such a way as to provide the proposal evaluators with an overall understanding of the proposal The executive summary may be no longer than three pages. Title this section as "Executive Summary" in the Technical Proposal.

3.2.2.5 Company Overview

Provide information about the company's capabilities to satisfy the requirements of this RFP and why it should be selected for this project. The overview should describe the kinds of projects the firm typically performs. The overview should provide a description of the Vendor's organization, including:

- Date established
- Ownership (public company, partnership, subsidiary, etc.). Include an organizational chart depicting the Vendor's organization in relation to any parent, subsidiary, or related organization.
- Number of employees and resources
- Names and resumes of Senior Managers and Partners in regards to this contract
- Evidence that the Vendor is financially stable and that it has the necessary infrastructure to complete this contract as described in the Vendor's proposal. The Vendor must provide audited financial statements for the last three years, or similar evidence of financial stability for the last three years.
- Vendor's acknowledgment that the State will not reimburse the Vendor until: (a) the Project Manager has approved the invoice; and (b) the Agency has received and approved all deliverables covered by the invoice
- Details of any pertinent judgment, criminal conviction, investigation or litigation pending against the Vendor or any of its officers, directors, employees, agents, or subcontractors of which the Vendor has knowledge, or a statement that there are none. The Agency reserves the right to reject a proposal solely on the basis of this information.

If a Vendor is owned or controlled by a parent company, the name, main office address and parent company's tax identification number shall be provided in the proposal. The company overview may be no longer than three pages. Title this section "**Company Overview**" in the Technical Proposal.

The company must have all necessary business licenses, registrations and professional certifications at the time of the contracting to be able to do business in Alabama. Alabama law provides that a foreign corporation (an out-of-state company/firm) may not transact business in the state of Alabama until it obtains a Certificate of Authority from the Secretary of State, Section 10-2B-17.01, et seq., Code of Alabama 1975. To obtain forms for a Certificate of Authority, contact the Secretary of State, Corporations Division, (334) 242-5324, www.sos.state.al.us. The Certificate of Authority or a letter/form showing application has been made for a Certificate of Authority must be submitted with the proposal.

3.2.2.6 Use of Subcontractors

Provide overview information about the company's plans to use a subcontractor or subcontractors to meet the requirements of this project. The overview should describe what functions or tasks the Subcontractor(s) would perform under this RFP. Overview may be no longer than three pages.

If subcontractors will not be used on this project, include statements in this section to specify the company's intentions not to use subcontractors. Title this section as "**Use of Subcontractors**" in the Technical Proposal.

3.2.2.7 Relevant Business Experience

Provide a Business Experience Matrix (see Appendix I) which summarizes relevant projects completed by the firm, or the specific organizational unit of the firm that will be responsible for work performed in this contract. If Subcontractors are to be used on the project, a Business Experience Matrix must be completed for the Subcontractors. List the 10 most recent projects performed which demonstrates the Vendor's ability to perform the requirements expressed in the RFP. All projects must be listed if the firm has less than 10 relevant projects. The matrix must provide all of the information described below. Columns should be used as follows:

Column A: Provide the name of the client and a short project name and description.

Column B: Indicate if work was performed relative to consulting support and technical assistance for State Government Medicaid Management/Eligibility Information Systems. Indicate Yes or No in the box.

Column C: Summary of DDI activities performed on the project. Leave blank if not performed.

Column D: For each project, indicate the starting date of the project using Month/Day/Year (MM/DD/YY) format.

Column E: For each project, indicate the ending date of the project using Month/Day/Year (MM/DD/YY) format.

Column F: Check this box if the project was completed within the original timeframe. Leave blank if not.

Column G: Check this box if the project was completed within the original budget. Leave blank if not.

Column H: Check this box if the firm was involved in any litigation related to this project.

Column I: For each project, list names (or initials) of all staff members proposed for our project that participated on the project referenced in the table.

Column J: Provide the name of a client we may contact about the project, with verified telephone numbers (please include fax numbers and email address if available).

The Agency reserves the right to contact any former client or employer with which the Vendor is known to have done business, whether provided as a reference or not.

Provide details for each project not completed on time or within budget. Also, provide the details of any litigation related to the project.

In addition to this summary, you may provide any additional information about the projects listed such as the purpose, scope, the firm's involvement, and the outcome or status of the project.

3.2.2.8 Approach and Methodology for Proposed Solution

In 10 pages or less, describe the Vendor's approach and any specialized tools that will be used to provide a solution that meets the requirements explained in Section 1.1.5 Scope. The response should include a description of the solution that is being proposed including whether the solution will run on SharePoint Foundation and SharePoint Server and also whether the Vendor has any past experience with SharePoint. The response should include whether the solution presented by the Vendor utilizes KnowledgeLake or another "add-on" to SharePoint and whether the Vendor plans on developing application code and business rules from scratch or will be attempting to leverage the functionality that exists in Oklahoma's system. Explain how the development or leveraging of application code and business rules will be performed.

Note: As previously indicated in Section 1.1.5, Vendors should refrain from proposing a software solution that will create a proprietary dependency unless approved by the State. For purposes of transparency, all Vendors are requested to include in their bid a complete list of all software including COTS products that will be proposed in support of the new Recipient Subsystem. In cases where a software solution could potentially meet the criteria of a proprietary dependency, the Vendor is requested to describe the reason for the need, substitutions that are possible (if any), additional cost if not used and if a substitution is used instead, and if no substitution is available to describe the extent of the dependency.

Title this section of the Technical Proposal as "**Proposed Solution.**"

3.2.2.9 Approach and Methodology for Statement of Work

In 60 pages or less, describe the approach, methodology, skills, knowledge, ability, and any specialized tools that will be used to complete or address the items listed in the Statement of Work section (Section 2). **The State does not want a "rewrite" of the RFP requirements, since signing and returning the RFP signifies acceptance of the terms and conditions contained therein.**

The following list of items corresponds to the activities and tasks in Section 2.4. For each Strategy and Methodology provided, Vendor must address each responsibility listed in that section as part of the comprehensive strategy and methodology. For example, when describing the strategy and methodology for the Conceptual Architectural Design Activity in Section 2.4.7, the Vendor should, in that section, address all bullets under the Vendor Responsibilities heading for each deliverable taking into consideration the Acceptance Criteria.

Each response to the list of items must have a separate header in this format: "Response to #" followed by the item number (e.g., "Response to #1").The Vendor must address their approach, etc. for completion of each of the following items:

1. Comprehensive Strategy and Methodology for the Project Planning Activity.
2. Comprehensive Strategy and Methodology for the Project Assessment and Control Activity.
3. Comprehensive Strategy and Methodology for the Decision Management Activity.
4. Comprehensive Strategy and Methodology for the Risk Management Activity.

5. Comprehensive Strategy and Methodology for the Configuration Management Activity.
6. Comprehensive Strategy and Methodology for the Requirements Analysis and Management Activity.
7. Comprehensive Strategy and Methodology for the Conceptual Architectural Design Activity.
8. Comprehensive Strategy and Methodology for the Detail Design Activity.
9. Comprehensive Strategy and Methodology for the Security Activity.
10. Comprehensive Strategy and Methodology for the Continuity of Operations Activity.
11. Comprehensive Strategy and Methodology for the Training and Knowledge Management Activity.
12. Comprehensive Strategy and Methodology for the Organization Change Management Activity.
13. Comprehensive Strategy and Methodology for the Data Conversion Activity.
14. Comprehensive Strategy and Methodology for the Development Activity.
15. Comprehensive Strategy and Methodology for the System Integration Activity.
16. Comprehensive Strategy and Methodology for the System Implementation Activity.
17. Comprehensive Strategy and Methodology for the Testing Activity.
18. Comprehensive Strategy and Methodology for the Quality Assurance Activity.
19. Comprehensive Strategy and Methodology for the Software Verification Activity.
20. Comprehensive Strategy and Methodology for the Software Validation Activity.
21. Comprehensive Strategy and Methodology for the Software Reviews Activity.
22. Comprehensive Strategy and Methodology for the Software Problem Resolution Process Activity.
23. Comprehensive Strategy and Methodology for the Software Audit Activity.
24. Comprehensive Strategy and Methodology for the Software Acceptance Activity.
25. Comprehensive Strategy and Methodology for the User Acceptance Testing Activity.
26. Comprehensive Strategy and Methodology for the Software Implementation Activity.
27. Comprehensive Strategy and Methodology for the Transition and Maintenance Activity.
28. Comprehensive Strategy and Methodology for the Document Management Activity.
29. Comprehensive Strategy and Methodology for the Operations Activity.
30. Comprehensive Strategy and Methodology for the Federal Review and Certification Activity.

Title this section of the Technical Proposal as "**Statement of Work Approach & Methodology.**"

3.2.2.10 Project Management Approach

In 30 pages or less, describe the Vendor's understanding of the project and address the objectives and requirements for DDI activities as defined in Section 2.2 and 2.3. The description must include how the tasks in Sections 2.4.1 through 2.4.30 will be performed, what problems need to be overcome, what functions the Vendor's staff will perform, and what assistance will be needed from Medicaid staff, if any. The response must maintain separation of responsibilities by clearly stating those responsibilities of the Vendor and those responsibilities expected of State personnel. Medicaid will expect this section to describe how the staffing proposed in Section 3.2.2.12 or the Vendor proposed staff positions will be adequate to perform each task.

This RFP has provided some specific staffing requirements in Section 2.6.1 but Vendors may propose the number of staff positions they need to meet the requirements for each task or deliverable. It is also allowable for the Vendor to submit staff positions equivalent to the staff positions described in Section 2.6.1. If equivalent positions are submitted by the Vendor, the proposal must describe in detail the staff responsibilities and relevant experience as it relates to their role in the project. The Agency will expect this section to clearly explain how the proposed staffing will be adequate to fully perform each activity/task required in Section 2.4.1 through 2.3.10.

Section 2.1.4 provides details on offices space and equipment for Vendor staff. The State will pay for all ***reasonable costs*** associated with telephone usage, fax usage, copier costs, postal costs, and office supplies for those staff working in the Medicaid Central Office. Beyond the staff members assigned to work out of the Medicaid Central Office, the Vendor will be responsible for providing their staff with personal computer(s), peripherals, electronic media communication protocols, communication lines, and software necessary to perform the requirements of this contract unless otherwise stated in Section 2.1.4. This response section must contain acknowledgement that the Vendor understands their obligation regarding payment of costs for staff located outside of the State offices.

This section must be titled "**Project Management Approach**" in the Technical Proposal.

3.2.2.11 Lifecycle Approach and Methodology

In 20 pages or less, describe the Vendor's Lifecycle Approach and Methodology toward this project including the phases, objectives, recommended tasks, and a summary of related control objectives for effective management. Vendor should identify projects where they have been previously successful using the proposed methodology[NF50]. A description of the Work Breakdown Structure (WBS) necessary to capture and schedule the work including the milestones and proposed baselines of the project should be addressed. In addition, an overview of the full scope and timeline of the project should be described. Also to be included in this section are identified risks associated with proposed lifecycle along with potential mitigation activities.

This section must be titled as "**Lifecycle Approach and Methodology**" in the Technical Proposal.

3.2.2.12 DDI Project Plan

In compliance with section 2.4.1.1 above, in 20 pages or less, describe the project plan to be used in completing this project. The description of the project plan should cover the items listed below but are not limited to these items.

- Preliminary project plan to include:
  - Summary of the overall plan for the completion of each activity and task of the project
  - Summary of the overall plan for DDI Vendor services
- Description of necessary relationships between the Vendor, subcontractors, and Medicaid personnel to include:
  - Gantt chart which describes assignments, who will perform them and when they will be performed, to include completion dates
  - Estimated time requirements for all Medicaid employees corresponding to the Gantt chart
- Preliminary project timelines and milestones
- Describe in detail the office automation needed to support the proposed Project Team (e.g., computer connections, configuration, etc.)

The awarded Vendor will be required to computerize the project management details using acceptable project management software (See Section 2.1.4 for acceptable project management software). This section must be titled as "**DDI Project Plan**" in the Technical Proposal.

3.2.2.13 Proposed Staffing

The awarded Vendor must furnish experienced, qualified professionals to ensure the success of the project. Accordingly, Vendors should provide a detailed listing of the individuals proposed to serve Medicaid on this assignment, along with a complete description of their roles and responsibilities and an indication of their planned level of effort. The Vendor should address each of the requirements listed in Section 2.6.

Resumes must be provided for each key individual and identify their role in the project. Resumes must describe each individual's educational background, experience, other pertinent professional data, and should be sufficiently detailed to demonstrate an individual's qualifications and experience and must include references. Vendors shall furnish staff with experience in projects using Microsoft.NET, SOA, SQL, and rules engines. Medicaid retains the right of approval over all proposed personnel, including potential substitutions to those proposed in response to this RFP.

It is expected that personnel proposed for the project will be committed and truly engaged with the project, and that inexperienced personnel will not be exchanged for them. Any work proposed to be performed offsite must be clearly identified in this section.

Should specific personnel proposed by the Vendor not be available, or if Medicaid determines that key personnel are not providing an adequate amount of time onsite, Medicaid reserves the right to cancel the project and all prior agreements with the Vendor or make appropriate adjustments to any work plan and prices to be paid herein under.

Additionally, Medicaid reserves the right to impose liquidated damages of up to 10 percent of the total project price should specific personnel proposed by the Vendor or Medicaid approved substitutions not be available, or become materially absent during the course of the project.

Title this section of the Technical Proposal as the "**Proposed Staffing.**" The Vendor may include an unlimited number of pages to describe their proposed staffing.

3.2.2.14 Relevant Technical Experience

Use this section to describe in 10 pages or less, the Vendor's proposed project team's experience with:

- Total years experience
- Contracts with other state Medicaid Agencies relative to system design, development and implementation
- Experience working with other Alabama State agencies
- Analysis of best Recipients Subsystems (i.e., Recipient data, eligibility verification, interfaces, etc.)
- Implementation of information systems using database management systems
- Cooperative/distributed processing and client/server architecture
- Web based development using Simple Object Access Protocol (SOAP)/Extensible Markup Language (XML) with Microsoft .NET technology
- Cooperative/distributed processing, N-Tier architecture/technology, SOA, Enterprise Application Integration (EAI), and ESB, client/server architecture
- SharePoint
- KnowledgeLake
- InRule or other rules engines
- Visio Pro

Title this section of the Technical Proposal "**Relevant Technical Experience.**"

3.2.2.15 Agency Responsibilities

Vendors shall respond to Section 2.3 by providing feedback in two pages or less of whether or not they believe all responsibilities have been identified. If there are missing responsibilities that the Vendor believes the State should accept, they should be noted at this time. Medicaid reserves the right to accept or reject any additional requirements identified by the Vendor. Title this section of the Technical Proposal as the "**Agency Responsibilities.**"

3.2.2.16 Financial Status

Vendors shall state in the proposal whether or not they are a) a partnership, b) a non-profit corporation, c) Alabama Corporation, d) Non-Alabama Corporation, or e) some other structure.

Vendors shall submit copies of their most recent audited financial statements and report of audit. These shall include at least a balance sheet and income statement. Vendors shall also include a statement of the Vendor's other contractual obligations which might have an influence on the capabilities of the Vendor to perform the conditions of the contract (e.g., shared personnel). Title this section of the Technical Proposal as the "**Financial Status.**"

3.2.2.17 Requirements Response Matrix

Completed Requirements Response Matrix found in Appendix D shall be placed in this section of the Technical Proposal titled "**Requirements Response Matrix**."

3.2.3 Cost Proposal

The second part of the documents that make up the Vendor's proposal response shall be marked "**Cost Proposal**" per specifications in Section 3.2.1 and shall immediately follow the "**Technical Proposal**" section. Each Vendor's proposal response package submitted must contain as part of their "**Cost Proposal**" the items listed below in the order listed:

- External Cover Page for Cost Proposal, formatted as indicated in Section 3.2.3.1
- Price Schedule I (See Appendix E)
- Price Schedule II (See Appendix F)

The following sections (Sections 3.2.3.1 through 3.2.3.5) provide a description of each of the above bullet items.

NOTE to VENDORS: **The State does not want a "rewrite" of the RFP requirements to address the requested Technical Response since signing and returning the RFP signifies acceptance of the terms and conditions contained therein.**

3.2.3.1 External Cover Page for Cost Proposal

The cover page for the **Cost Proposal** should be a single page formatted and marked according to the technical response example provided on the next page. This page shall be used to identify the beginning of the Vendor's Cost Proposal section.

The cover page for the **Cost Proposal** shall be a full and first page of this section marked as follows:

Alabama Medicaid Agency

Recipient Subsystem
Phase II

COST PROPOSAL

RFP #:

Opening Date: [enter proposal opening date]

Company Submitting the Proposal: _____

Proposal Submitted By (Company Representative): _____

3.2.3.3 Price Sheets

The Pricing Schedules reflect the State precedent of costing labor separately from deliverables. Price Schedule I is intended to reflect labor hours and Price Schedule II is intended to reflect the cost of deliverables themselves. While the two are clearly related, the State recommends that each Vendor apply a sizing factor to determine the deliverables costs. Vendors should account for labor hours as labor, and determine a cost for deliverables using some factor to distribute a portion of overall costs to the deliverables.

The Price Sheets (Price Schedule I and Price Schedule II) should be submitted in a separately sealed envelope from the Business and Technical Response and provided with the original proposal. The Vendor's name(s) should be clearly identified on the envelope and on the Price Schedules.

The Alabama Medicaid Agency RFP Proposal Sheet(s) must be signed and completed per the proposal sheets instructions. The RFP Proposal Sheet shall be submitted in the separately sealed package with the Pricing Schedules and be notarized as stated in section 3.2.2.1. The "Firm and Fixed Price for Contract" section on the Proposal Sheet that accompanies the Pricing Schedules must be completed.

3.2.3.3.1 Price Schedule I

Vendors are to complete this price schedule by entering the following:

- Staff by Title (Project Manager, Business Architect, Systems Architect, etc.)
- Number of Staff
- Rate Per Hour
- Estimated Hours (project)
- Extended Price
- Grand Total Staff
- Grand Total Hours
- Grand Total Price

The Extended Price shall be calculated for each line item listed as the Rate Per Hour times the Estimated Hours (Extended Price = Rate Per Hour * Estimated Hours). The Grand Total Staff is the summed total of all staff listed under the # of Staff column. The Grand Total Hours is the summed total of all hours listed under the Estimated Hours column. The Grand Total Price is the summed total of all prices listed in the Extended Price column. The Grand Total Price must be transferred to Price Schedule II and recorded on the proper line as indicted on Schedule II (bottom of schedule). The Rate per Hour listed on this schedule shall be the Rate per Hour charged by the Awarded Vendor for the specified staff based on job title. The Awarded Vendor's staff Rate per Hour charges shall be based on the proposal response "Rate per Hour" in Price Schedule I as part of the awarded contract.

Price Schedule I must be signed and dated by a person in the Vendor's organization who can legally obligate the Vendor to the conditions of this contract. (See Appendix E Price Schedule I).

3.2.3.3.2 Price Schedule II

Price Schedule II must be completed by the Vendor to list the Fixed Total Price the Vendor shall charge to deliver the Medicaid approved deliverable as listed on Price Schedule II. After the proposal award, this schedule shall be used to determine the amount due for each approved deliverable based on the contracted proposal Fixed Total Price. Vendors are to complete this pricing schedule by entering their prices for each deliverable listed. Vendors may add additional pertinent DDI tasks/deliverables/requirements based on the Vendor's Eligibility Systems or DDI knowledge and experience within each stage of **Price Schedule II** as applicable. Should Vendors add to or modify this list with, for instance, deliverables they deem necessary, overlooked or innovated, they may make such recommendations in their proposal by adding the line item(s) to Pricing Schedule II where applicable and assigning an appropriate line item number based on the schema used in Price Schedule II. The Vendor must also provide a clear explanation of the requirements and purpose of any added or modified deliverable in a separate attachment. Medicaid shall determine if any line items added or modified on Schedule II by the proposing Vendor are acceptable deliverables under the RFP (see Appendix F Price Schedule II). Payments will only be made on the successful completion and approval of a deliverable by Medicaid as itemized in Price Schedule II under the contract.

Each Vendor should calculate their Fixed Proposal Price for a line item to cover their cost for the deliverable to include the use of subcontractors. Elements of price applicable to the contract such as travel, clerical support, subsistence, training, etc., must also be considered in calculating a deliverable's Fixed Proposal Price. Proposing Vendor staff hours expended to produce a deliverable should not be used in the overall calculation of the Fixed Proposal Price for a deliverable since staff time is billable at a stated Rate per Hour and can be billed as a separate line item.

A Grand Total Price of all line items in Price Schedule II is required and should be the same amount that is entered on the Alabama Medicaid Agency RFP Proposal Sheet for the **unit price** and **Proposal Total Price**. **In the event of a discrepancy, the unit price entered on the RFP Proposal Sheet shall govern.**

Price Schedule II must be signed and dated by a person in the Vendor's organization who can legally obligate the Vendor to the conditions of this contract. The Vendor shall fully define any commitment of Medicaid resources not included in the price of the proposal but are necessary to fulfill the requirements of the Recipient Subsystem Phase II Project.

3.2.4 Freedom of Information and Privacy Acts

Vendors should be aware that all materials associated with the procurement are subject to the terms of the Freedom of Information Act and all rules, regulations, and interpretations resulting there from including those from the Offices of the Attorney General of the United States (US), Health and Human Services (HHS), and Centers for Medicare and Medicaid Services (CMS).

By submission of a proposal, the Vendor agrees that the Privacy Act of 1974, Public Law 93-579, and the Regulations and General Instructions issued pursuant thereto are applicable to this contract, and to all subcontracts hereunder to the extent that the design, development, operation, or maintenance of a system of records as defined in the Privacy Act is involved.

4 PROPOSAL EVALUATION CRITERIA

4.1 Introduction

The objective of the proposal evaluation process is to determine the proposal which most cost effectively meets the Agency's goals and the requirements of this RFP. A comprehensive, fair, and impartial evaluation of proposals received in response to this procurement effort will be conducted. Proposal Evaluation Committee of Agency employees shall conduct the evaluation in the following sequence:

- Receipt of Proposals
- Removal of non-responsive proposals
- Review of Mandatory Requirements
- Committee evaluation and scoring of responsive Technical Proposals
- Scoring of Cost Proposals
- Merging of Vendor Technical Proposal scores and Cost Proposal scores
- Rank Ordering of Vendors
- Evaluation Committee determination of Proposals Reasonably Likely for Award
- Oral Presentations – Optional
- Re-evaluation of proposals reasonably likely for award based on original proposals and any new information generated through oral presentations – if performed
- Reference Checks
- RFP Apparently Successful Vendor Award Recommendation

4.2 Initial Classification of Proposals as Responsive or Non-Responsive

All proposals will initially be classified as either “responsive” or “non-responsive”. Proposals may be found non-responsive at any time during the evaluation process or contract negotiation if any of the required information is not provided; the submitted price is found to be excessive or inadequate as measured by criteria stated in the RFP; or the proposal is not within the plans and specifications described and required in the RFP. If a proposal is found to be non-responsive, it will not be considered further.

Proposals failing to demonstrate that the Vendor meets the mandatory requirements identified in Section 4.7.2 will be deemed non-responsive and not considered further in the evaluation process.

4.3 Determination of Responsibility

The Evaluation Committee will determine whether a Vendor has met the standards of responsibility. In determining responsibility, the committee may consider factors such as, but not limited to, the Vendor’s specialized expertise, ability to perform the work, experience, and past performance. Such a determination may be made at any time during the evaluation process and

through contract negotiation if information surfaces that would result in a determination of non-responsibility. If a Vendor is found non-responsible, a written determination will be made a part of the procurement file and mailed to the affected Vendor.

4.4 Evaluation of Proposals

All responsive proposals will be evaluated based on stated evaluation criteria as well as a comparative evaluation of all other qualified RFP responses in terms of differing price, quality, and contractual factors. These scores will be used to determine the most advantageous offering to the State.

4.5 Completeness of Proposals

Selection and award will be based on the Vendor's proposal and other items outlined in this RFP. Submitted responses may not include references to information located elsewhere, such as Internet web sites or libraries, unless specifically requested by the State in this RFP. Information or materials presented by Vendors outside the formal response will not be considered, will have no bearing on any award, and may result in the Vendor being disqualified from further consideration.

4.6 Opportunity for Additional Information

The State reserves the right to contact any Vendor submitting a proposal for the purpose of clarifying issues in that Vendor's proposal. Vendors should clearly designate in their proposal a point-of-contact for questions or issues that arise in the State's review of a Vendor's proposal. Upon receipt of all proposals, the State will conduct a comprehensive review and evaluation process resulting in a subset of the proposals being designated as "reasonably likely to award." Vendors whose proposals are determined "reasonably likely to award" may also be required to make an oral presentation at Medicaid Agency headquarters in Montgomery, Alabama, to clarify their RFP response or to further define their offer. Oral presentations, if requested, shall be at the Vendor's expense. The State's intent with regard to the oral presentation is to gauge the level of competence of proposed staff. Thus, the presentation must be conducted by the key staff proposed in the Vendor's proposal.

Those Vendors that have been eliminated will be notified accordingly.

4.7 Scoring

The evaluation process is designed to award the contract to the Vendor with the best combination of attributes based upon the evaluation criteria including, but not limited to, cost. The Evaluation Committee will review and evaluate proposals based on **a maximum possible value of 1000 points**. The Vendor's response will be assessed in two parts; Technical Proposal and Cost Proposal. The Technical Proposal will be evaluated based on the following Scoring Guide for a value of 800 points, while the Cost Proposal will be evaluated based on the formula set forth in section 4.7.5 for a value of 200 points.

The composition of the Proposal total of 1000 points is shown in Table 8:

Table 8: Scoring Methodology

Category	RFP Section	Point Value
Relevant Business Experience/References	**3.2.2.7**	**Pass/Fail**
Mandatory Proposal Requirements	**3.1 – 3.2.2.6** **3.2.3 – 3.2.3.1**	**Pass/Fail**
Financial Status	**3.2.2.14**	**Pass/Fail**
Approach and Methodology for Proposed Solution	**3.2.2.8**	**150**
Approach and Methodology for Statement of Work	**3.2.2.9**	**400**
Project Management	**3.2.2.10**	**50**
Lifecycle Methodology	**3.2.2.11**	**50**
DDI Project Plan	**3.2.2.12**	**50**
Proposed Staffing	**3.2.2.13**	**50**
Technical Experience	**3.2.2.14**	**50**
Cost Proposal	**3.2.3**	**200**
Total Points		**1000**

4.7.1 References

The vendor will be scored on the strength of the references provided.

These references may be contacted to verify Vendor's ability to perform the contract. The State reserves the right to use any information or additional references deemed necessary to establish the ability of the Vendor to perform the conditions of the contract. Negative references may be grounds for proposal disqualification.

4.7.2 Mandatory Proposal Requirements Criteria

The following criteria serves as the proposal evaluator's criteria that shall be used to determine if a proposal is sufficiently responsive to the RFP's "Technical Proposal" requirements as stated in Section 3.2.2 of the RFP. Any "Technical Proposal" that is incomplete or in which there are significant inconsistencies or inaccuracies may be rejected by Medicaid. The Agency reserves the right to waive minor variances, to reject any and all proposals, and to request clarifications from all Vendors. The Proposal evaluation criteria for the Vendor's proposal responsiveness are listed in Table 9:

Table 9: Proposal Responsiveness Scoring Methodology

RFP Reference	Criteria to Meet Mandatory Proposal Submission Requirement	State Use Only

		Pass or Fail	Comments
1.1.3	Vendor attended Mandatory Pre-Proposal Conference	☐ Pass ☐ Fail	
3.2	Proposal was received by the Recipient Subsystem Project Manager no later than the date and time specified in the Section C – Procurement Timetable.	☐ Pass ☐ Fail	
3.2	Vendor submitted one original and ten hard-copy versions of the Proposal Response in binder form plus two electronic versions on CD, jump drive, or disc.	☐ Pass ☐ Fail	
3.2.1	Vendor's proposal uses the format specified in the RFP.	☐ Pass ☐ Fail	
3.2.2.1	The RFP Proposal Sheet is included, signed in ink and notarized and is first page of the original proposal. Copies of this page are included in the proposal copies.	☐ Pass ☐ Fail	
3.2.2.2	A Cover Page like RFP example is included.	☐ Pass ☐ Fail	
3.2.2.3	A letter of Transmittal on prime Vendor letterhead including the following items: ▪ Identification of all materials and enclosures being submitted collectively as a response to this RFP ▪ Identification of the Vendor who will be the prime Vendor and the name of the corporation or other legal entity submitting the proposal. It shall also include a statement identifying any and all subcontractors, if any, who are needed in order to satisfy the requirements of this RFP. The percentage of work, as measured by percentage of total contract price, to be performed by the prime Vendor shall be provided. If no subcontractor is proposed, a statement shall be made identifying that fact. ▪ A statement that the prices proposed were arrived at independently without consultation, communication, or agreement with any other Vendor or competitor for this procurement ▪ A statement that the person signing this proposal is authorized to make decisions on behalf of the Vendor's organization as to the prices quoted	☐ Pass ☐ Fail	

RFP Reference	Criteria to Meet Mandatory Proposal Submission Requirement	State Use Only	
		Pass or Fail	Comments
3.2.2.3	A Disclosure Statement completed and submitted with the proposal required pursuant to Alabama Act 2001-955, located in Appendix H – Disclosure Statement or on the Attorney General's web site at the following address: http://www.ago.state.al.us/ag_items.cfm?Item=70 If subcontractors are used a Disclosure Statement for each of them is included	☐ Pass ☐ Fail	
3.2.2.4	Executive Summary is included.	☐ Pass ☐ Fail	
3.2.2.5	Company Overview is included meeting indicated requirements.	☐ Pass ☐ Fail	
3.2.2.5	Certificate of Authority or a letter/form showing application has been made for a Certificate of Authority is included.	☐ Pass ☐ Fail	
3.2.2.6	Use of Subcontractors section is included meeting indicated requirements.	☐ Pass ☐ Fail	
3.2.2.7	Business Experience Matrix is included and meets indicated requirements. If Subcontractors are to be used on the project, a Business Experience Matrix must be completed for each Subcontractor.	☐ Pass ☐ Fail	
3.2.2.8	Approach and Methodology for Proposed Business Solution is included.	☐ Pass ☐ Fail	
3.2.2.9	Statement of Work Approach and Methodology is included.	☐ Pass ☐ Fail	
3.2.2.9	Vendor responded to 2.4.1 Work and Deliverables, Activity 1: Project Planning requirements.	☐ Pass ☐ Fail	
3.2.2.9	Vendor included required deliverable Project Plan V1.	☐ Pass ☐ Fail	
3.2.2.9	Vendor responded to 2.4.2 Work and Deliverables, Activity 2: Project Assessment and Control	☐ Pass ☐ Fail	
3.2.2.9	Vendor responded to 2.4.3 Work and Deliverables, Activity 3: Decision Management.	☐ Pass ☐ Fail	
3.2.2.9	Vendor responded to 2.4.4 Work and Deliverables, Activity 4: Risk Management	☐ Pass ☐ Fail	
3.2.2.9	Vendor responded to 2.4.5 Work and Deliverables, Activity 5: Configuration Management.	☐ Pass ☐ Fail	
3.2.2.9	Vendor responded to 2.4.6 Work and Deliverables, Activity 6: Requirements Analysis and Management	☐ Pass ☐ Fail	
3.2.2.9	Vendor responded to 2.4.7 Work and Deliverables, Activity 7: Conceptual Architectural Design	☐ Pass ☐ Fail	

RFP Reference	Criteria to Meet Mandatory Proposal Submission Requirement	State Use Only	
		Pass or Fail	Comments
3.2.2.9	Vendor responded to 2.4.8 Work and Deliverables, Activity 8: Detail Design.	☐ Pass ☐ Fail	
3.2.2.9	Vendor responded to 2.4.9 Work and Deliverables, Activity 9: Security	☐ Pass ☐ Fail	
3.2.2.9	Vendor responded to 2.4.10 Work and Deliverables, Activity 10: Continuity of Operations	☐ Pass ☐ Fail	
3.2.2.9	Vendor responded to 2.4.11 Work and Deliverables, Activity 11: Training and Knowledge Management	☐ Pass ☐ Fail	
3.2.2.9	Vendor responded to 2.4.12 Work and Deliverables, Activity 12: Organization Change Management	☐ Pass ☐ Fail	
3.2.2.9	Vendor responded to 2.4.13 Work and Deliverables, Activity 13: Data Conversion	☐ Pass ☐ Fail	
3.2.2.9	Vendor responded to 2.4.14 Work and Deliverables, Activity 14: Development	☐ Pass ☐ Fail	
3.2.2.9	Vendor responded to 2.4.15 Work and Deliverables, Activity 15: System Integration	☐ Pass ☐ Fail	
3.2.2.9	Vendor responded to 2.4.16 Work and Deliverables, Activity 16: System Implementation	☐ Pass ☐ Fail	
3.2.2.9	Vendor responded to 2.4.17 Work and Deliverables, Activity 17: Testing	☐ Pass ☐ Fail	
3.2.2.9	Vendor responded to 2.4.18 Work and Deliverables, Activity 18: Quality Assurance	☐ Pass ☐ Fail	
3.2.2.9	Vendor responded to 2.4.19 Work and Deliverables, Activity 19: Software Verification	☐ Pass ☐ Fail	
3.2.2.9	Vendor responded to 2.4.20 Work and Deliverables, Activity 20: Software Validation	☐ Pass ☐ Fail	
3.2.2.9	Vendor responded to 2.4.21 Work and Deliverables, Activity 21: Software Reviews	☐ Pass ☐ Fail	
3.2.2.9	Vendor responded to 2.4.22 Work and Deliverables, Activity 22: Software Problem Resolution	☐ Pass ☐ Fail	
3.2.2.9	Vendor responded to 2.4.23 Work and Deliverables, Activity 23: Software Audits	☐ Pass ☐ Fail	
3.2.2.9	Vendor responded to 2.4.24 Work and Deliverables, Activity 24: Software Acceptance	☐ Pass ☐ Fail	
3.2.2.9	Vendor responded to 2.4.25 Work and Deliverables, Activity 25: User Acceptance Testing.	☐ Pass ☐ Fail	
3.2.2.9	Vendor responded to 2.4.26 Work and Deliverables, Activity 26: Software Implementation	☐ Pass ☐ Fail	
3.2.2.9	Vendor responded to 2.4.27 Work and Deliverables, Activity 27: Transition and Maintenance.	☐ Pass ☐ Fail	

RFP Reference	Criteria to Meet Mandatory Proposal Submission Requirement	State Use Only	
		Pass or Fail	Comments
3.2.2.9	Vendor responded to 2.4.28 Work and Deliverables, Activity 28: Document Management	☐ Pass ☐ Fail	
3.2.2.9	Vendor responded to 2.4.29 Work and Deliverables, Activity 29: Operations	☐ Pass ☐ Fail	
3.2.2.9	Vendor responded to 2.4.30 Work and Deliverables, Activity 30: Federal Review.	☐ Pass ☐ Fail	
3.2.2.11	Project Management Approach section is included.	☐ Pass ☐ Fail	
3.2.2.12	Proposed Staffing section is included.	☐ Pass ☐ Fail	
3.2.2.13	Relevant Experience Section is included.	☐ Pass ☐ Fail	
3.2.2.14	Agency Responsibilities section is included.	☐ Pass ☐ Fail	
3.2.2.15	Financial Status section is included.	☐ Pass ☐ Fail	
3.2.3	Pricing Sheets are included as required in separate sealed envelope.	☐ Pass ☐ Fail	

4.7.3 Financial Status

The evaluation will focus on the company's financial stability and the degree of corporate, financial, and technical resources at the company's disposal to be drawn upon in meeting the objectives of this engagement.

4.7.4 Technical Proposal Evaluation – 800 Points or 80%

4.7.5 Approach and Methodology for Proposed Solution – 150 Points or 15%

The Vendor's response to the Approach and Methodology for the Proposed Solution will be evaluated based on the methodology and whether it meets the requirements explained in Section 1.1.5 Scope. The degree to which the solution proposed incorporates SharePoint, KnowledgeLake, and InRule to implement the Recipient Subsystem will be taken into consideration. The response will also be assessed based on the plan for developing application code and business rules from scratch or the plan for leveraging existing business rules. The evaluation will also take into consideration whether the Vendor has proposed a solution which creates a proprietary dependency and is so, the justification provided.

The technical sufficiency of the solution will be scored as well as the innovation proposed.

The State will review the approach and will independently evaluate and score the Vendor's response using the whole-number point scale scoring each item against the requirements of this RFP.

0 = meets few 1= meets some 2 = meets most 3=meets all 4 = exceeds some 5 = exceeds most

4.7.6 Approach & Methodology for Statement of Work – 400 Points or 40%

The Vendor must address the activities identified in Section 3.2.2 and provide the information and documentation as required. The State will review the approach and will independently evaluate and score the Vendor's response using the whole-number point scale scoring each item against the requirements of this RFP.

0 = meets few 1= meets some 2 = meets most 3=meets all 4 = exceeds some 5 = exceeds most

The completed Requirements Response Matrix (Appendix D) will be evaluated as part of this section.

4.7.7 Project Management – 50 Points or 5%

The Vendor's response to the Project Management RFP requirements will be evaluated on the degree of understanding of the project and the separation of responsibilities indicated:

Understanding of Project – A maximum of 25 points will be allocated based upon the degree to which proposals demonstrate an understanding and awareness of the DDI needs and objectives of the State during the Recipient Subsystem Phase II project. The proposal should establish a clear understanding of the scope and complexity of the Project and lay out a strategy for managing the volume of work that will be required to provide DDI services for the Project.

Responsibilities – A maximum of 25 points will be allocated based upon the degree to which proposals demonstrate the delineation between Agency and Vendor (and subcontractor if applicable) responsibilities.

4.7.8 Lifecycle Approach and Methodology – 50 Points or 5%

The Vendor's response to the Lifecycle Methodology RFP requirements will be evaluated on the models and methodology proposed and management controls identified.

Methodology – A maximum of 25 points will be awarded for proposals that delineate a logical, clear, and detailed methodology for providing DDI services for all aspects of the Recipient Subsystem Project Phase II project and in meeting all Agency deliverables. Approaches emphasizing thorough analysis and detailed documentation will yield additional points.

Controls – A maximum of 25 points will be allocated for proposals with management controls that are sufficient to ensure successful completion of all DDI tasks. Assumptions and constraints must be openly revealed as well as a discussion of the flexibility to adapt to a changing environment, and sound management controls.

4.7.9 DDI Project Plan – 50 Points or 5%

The Vendor's project plan will be evaluated on both the thoroughness/completeness of the plan as well as the quality:

Completeness – A maximum of 25 points will be allocated based upon the degree to which the proposal completely covers the Vendor's project plan for completing the project initiation, execution, management control, etc. The project plan should cover the Vendor's overall plan for design, development and implementation services for the Recipient Subsystem.

Quality – A maximum of 25 points will be allocated based upon the quality of the project plan in the proposal including whether the plan completely addresses all activities, tasks, deliverables and phases of the project from initiation through project closeout and turnover to the State. The

project plan will also be evaluated based on the degree to which internal quality reviews of documents before delivery to the Agency are built into the schedule with additional time available for requested revisions.

4.7.10 Project Staffing – 50 Points or 5%

The Vendor's response to Project Staffing will be evaluated based on staff qualifications and experience as well as the organizational structure:

Qualifications and Experience – A maximum of 25 points will be awarded following an assessment of the Vendor's proposed staff in the areas of education, certifications, and training background. Included in the assessment will be a review of Vendor's staff members' recent and sustained design, development and implementation experience in projects of similar scope. Proposals will be reviewed for instances of project staff member's knowledge and experience with large-scale projects and Medicaid/eligibility programs and systems.

Structure – A maximum of 25 points will be assigned based on an evaluation of the Vendor's approach to project organization and staffing. The quantity and quality of staff proposed will be assessed as well as the appropriateness and value of the role/responsibilities that each staff member is assigned on the project team. A staffing approach that balances onsite full-time personnel with "just-in-time" as-needed expertise is preferred.

4.7.11 Relevant Technical Experience Evaluation – 50 Points or 5%

The Vendor's technical response will be evaluated based on the relevance, extent, and qualifications as explained below:

Relevance – A maximum of 10 points will be assigned based on an evaluation of the Vendor's technical experience and its relevance and applicability to the provision of services as described in this RFP.

Extent – A maximum of 15 points will be assigned based on an evaluation of the extent of the Vendor's experience in the areas described in this RFP.

Qualifications – A maximum of 25 points will be assigned based on an evaluation of the

Vendor's technical experience and capability to deliver the quality and timeliness of the performance needed to successfully develop, design and implement the project as described in this RFP.

4.7.12 Cost Evaluation – 200 Points or 20%

The State of Alabama will only accept firm and fixed cost proposals for this Project. The Vendor should provide a firm fixed price for the projected twenty-four (24) month term of the contract. This amount shall be used for evaluation purposes. All Vendors' proposal fixed prices will be totaled and then the individual Vendor's fixed price is a percentage of the total and receives that percentage of the points available. Example: Total possible points for cost are 200. Vendor A's cost is $20,000. Vendor B's cost is $30,000. Vendor C's Cost is $40,000. Scoring would be as follows:

		Ratio Cost	Rank %	**Points**
Vendor A	$20,000	0.22	0.78	156
Vendor B	$30,000	0.33	0.67	134
Vendor C	$40,000	0.45	0.55	110
Total	$90,000	1.00		

4.8 RFP Award Recommendation

The RFP Evaluation Committee shall submit a written recommendation to the Commissioner to award the RFP to the Vendor whose proposal has been determined to be the most advantageous to the State. The Commissioner will make the final decision to award the contract based on the recommendations of the Evaluation Committee. If the Vendor selected is unwilling or unable to perform, the proposal bond will be forfeited and the Agency may award to the next lowest responsible and responsive Vendor most advantageous to the State.

4.9 State and Federal Approvals

State and Federal approval is required before the Agency may award a contract. By State law, all contracts must be reviewed by the Legislative Contract Review Oversight Committee and approved by the Governor. In addition the contract must also be approved by CMS. Every effort will be made by the Agency, both before and after selection, to facilitate the rapid approval and an early start date. Appendix P contains a copy of the Contract Review Report for Submission to Oversight Committee form that must be signed by the selected Vendor. Other required documents that must be signed by the Vendor are located in Appendices R, S, and T.

5 GENERAL TERMS AND CONDITIONS

5.1 General Contract Terms

5.1.1 Entire Agreement

This RFP and the Vendor's response thereto shall be incorporated into a contract by the execution of a formal agreement. No alteration or variation of the terms of these contracts shall be valid unless made in writing and duly signed by the parties thereto. Oral understandings of this agreement are not incorporated therein and no alterations or variations of the terms thereof shall be binding on any of the parties unless made in writing between the parties. The contract shall be amended by written agreement duly executed by the parties; every such amendment shall specify the date of its provisions and shall be effective as agreed to by the parties. These contracts and amendments, if any, are subject to approval by the CMS and the Governor of the State of Alabama.

Execution of the contract and posting of the performance bond shall authorize the Vendor to undertake performance of the contract and shall entitle Vendor to be reimbursed for costs incurred in such performance, subject to all terms and conditions of the contract.

5.1.2 Notice to Parties

Any notice to the Agency under these contracts shall be sufficient when mailed to the Commissioner of the Alabama Medicaid Agency, P. O. Box 5624, Montgomery, Alabama 36103-5624. Any notice to the Vendor shall be sufficient when mailed to the Vendor at the address given on the return receipt from this RFP or on the contract after signing. All notices shall be given by certified mail, return receipt requested.

5.1.3 Headings and Titles

Any headings or titles used to help identify any part of this RFP or any contract upon which it is based are for reference purposes only and shall not be deemed as controlling the interpretation or meaning of any provision of this RFP or any contract upon which it shall be based.

5.1.4 Compliance with Federal and State Requirements

The Vendor shall perform all services under these contracts in accordance with applicable Federal and State statutes and regulations. The Agency retains full operational and administrative authority and responsibility over the Alabama Medicaid Program in accordance with the requirements of the Federal statutes and regulations as the same shall be amended from time to time including the Health Insurance Portability and Accountability Act of 1996 (HIPAA). The Vendor will be considered a Business Associate of the Agency and will be required to sign a Medicaid Business Associate Addendum. (See sample in Appendix J).

5.1.5 Contract a Public Record

Upon signing of this contract by all parties, the terms of the contract become available to the public pursuant to Alabama law. Vendor agrees to allow public access to all documents, papers, letters, or other materials subject to the current Alabama law on disclosure. It is expressly

understood that substantial evidence of Vendor's refusal to comply with this provision shall constitute a material breach of contract.

5.1.6 Beginning Work Under Contract

The Vendor acknowledges and understands that the contract is not effective until they have received all requisite State approvals, and the Vendor shall not begin performing work under these contracts until notified to do so by the Agency. The Vendor is entitled to no compensation for work performed prior to the effective date of these contracts.

5.1.7 Term of the Contract

This contract shall begin on the date of award and shall continue until up to 24 months, unless mutually extended as hereinafter provided.

See **Section C – Procurement Timetable.**

5.1.7.1 Contract Content and Other Priority Documents

This RFP and the Vendor's response shall be incorporated into a contract by the execution of a formal agreement. The contract and amendments, if any, are subject to approval by CMS and the Governor of the State of Alabama.

The contract shall include the following:

- Executed contract
- RFP, and any amendments thereto
- Vendor's response to the RFP

The contracts shall be construed in accordance with and in the order of the applicable provisions of:

- Title XIX of the Social Security Act, as amended, and regulations promulgated there under by HHS and any other applicable Federal statutes and regulations
- The statutory and case law of the State of Alabama
- The Alabama State Plan for Medical Assistance under title XIX of the Social Security Act, as amended
- The Alabama Medicaid Agency Administrative Code
- The Alabama Medicaid Provider Manual
- The Agency's written responses to prospective Vendors' questions

5.1.8 Contract Financial Incentives

The Medicaid Agency will provide financial incentives to encourage the DDI Vendor to reach Initial Operational Capability (IOC) before the 24 month development period of this contract ends. IOC is defined as satisfactory completion of User Acceptance Testing and an Agency determination that the IOC has been reached. Additional payment will be awarded to the DDI Vendor under the following circumstances:

- IOC 4 months prior to the end of the 24 month development period (100%): $1,500,000
- IOC 3 months prior to the end of the 24 month development period (75%): $1,125,000
- IOC 2 months prior to the end of the 24 month development period (50%): $750,000
- IOC 1 month prior to the end of the 24 month development period (25%): $375,000

5.1.9 Contract Amendments

The contract shall be deemed to include all applicable provisions of the State Plan and of all State and Federal laws and regulations applicable to the Alabama Medicaid Program, as they may be amended. In the event of any substantial change in such Plan, laws, or regulations, which materially affect the operation of the Alabama Medicaid Program, or the costs of administering such Program, either party, after written notice and before performance of any related work, may apply in writing to the other for an equitable adjustment in compensation caused by such material change.

5.1.10 Changes to the Statement of Work

During the contract period, if the Vendor considers that any written or oral communication, including any order, direction, instruction, interpretation, or determination, received from the Recipient Subsystem Project Manager or any Alabama Medicaid agent or representative, or that any other act or omission of the Alabama Medicaid Agency, its agent or representative (an "Event") constitutes a change to the scope of the Statement of Work of this RFP but is not plainly identified, labeled, or titled as such, the Vendor shall advise the designated Agency contact person in writing within 10 business days of the Event and shall request written confirmation of the Event. The notice shall state:

- The nature and pertinent circumstances of the communication, act, or omission regarded as a change in scope of the Statement of Work by the Vendor
- The date of the communication, act, or omission, and the identification of each individual involved in such communication, act, or omission, listing his or her name and function
- The identification of the documents involved
- The substance of any oral communications
- The particular technical requirements or contract requirements regarded as changed
- The direct and foreseeable consequential effect of the communication, act, or omission regarded as a change to the scope of the Statement of Work, including the number of hours required from the staff to accomplish the change and the manner and sequence of performance or delivery of supplies or services, identifying which supplies or services are or shall be affected

The Agency shall respond within 10 days of receipt of the Vendor's notice, either:

- To countermand the action or communications regarded as an Event
- To deny that the Event is a change in the scope of the Statement of Work
- To confirm that the Event is a change to the scope of the Statement of Work by issuance of a written notice

- If the information in the Vendor's notice is inadequate to permit a decision to be made, advise the Vendor as to what additional information is required and establish the date by which this information shall be furnished

If the Vendor complies with any order, direction, interpretation, or determination, written or oral, without providing the notice, in accordance with this section, the Agency shall not be liable for any increased price, delay in performance, or contract nonconformance by the Vendor.

If the Vendor does not agree with the decision of the Agency designee, the Vendor has 30 days to appeal the decision to the Commissioner of Medicaid.

5.1.11 Additions to Permanent Staff

Both the Vendor and the Agency must agree upon additions to contract-required staff or key personnel. The reimbursement of the staff cannot exceed the current Vendor rate being paid for equivalent staff.

5.1.12 Force Majeure

Neither party to this contract shall be responsible for delays or failures in performance resulting from acts beyond the control of such party. Such acts shall include, but not be limited to, acts of God, strikes, riots, lockouts, and acts of war, epidemics, fire, earthquakes, or other disasters.

5.1.13 Not a Debt of the State

It is agreed that the terms and commitments contained herein shall not be constituted as a debt of the State of Alabama in violation of Article 11, Section 213 of the Constitution of Alabama, 1901, as amended by Amendment 26. It is further agreed that if any provision of this contract shall contravene any statute or Constitutional provision or amendment, either now in effect or which may, during the course of these contracts, be enacted, then that conflicting provision in the contract shall be deemed null and void. The Vendor's sole remedy for the settlement of any and all disputes arising under the terms of these contracts shall be limited to the filing of a claim with the Board of Adjustment for the State of Alabama.

5.1.14 Use of Federal Cost Principles

For any terms of these contracts which allow reimbursement for the cost of procuring goods, materials, supplies, equipment, or services, such procurement shall be made on a competitive basis (including the use of competitive bidding procedures) where practicable, and reimbursement for such cost under these contracts shall be in accordance with 48 CFR Parts 300 to 399. Further, if such reimbursement is to be made with funds derived wholly or partially from Federal sources, such reimbursement shall be subject to Vendor's compliance with applicable Federal procurement requirements, and the determination of costs shall be governed by Federal cost principles.

5.1.15 Non-assignment

These contracts shall not be assigned without written consent of the Agency. Except under exceptional circumstances, no such consent shall be given.

5.1.16 Subcontracts

The Vendor may subcontract for any services necessary to the completion and maintenance of this contract and to the performance of its duties under this contract with advance written approval by the Agency of both the subcontracted function and the subcontractor. Subcontractors include those whose services shall be purchased or software licensed by the Vendor, and any business partnerships between the Vendor and others. Subcontractors shall demonstrate the capability to perform the function to be subcontracted at a level equal or superior to that of the Vendor. All subcontracts shall be in writing, with the subcontractor functions and duties clearly identified, and shall require the subcontractor to comply with all applicable provisions of this RFP. The Vendor shall at all times remain responsible for the performance by any subcontractors approved by the Agency. The Vendor's performance bond and Vendor's responsibility for damages shall apply whether performance or nonperformance was by the Vendor or one of its subcontractors. The Agency shall not release the Vendor from any claims or defaults of this contract, which are predicated upon any action or inaction or default by any subcontractor of the Vendor, even if such subcontractor was approved by the Agency as provided above. The Vendor shall give the Agency notice in writing by certified or registered mail of any action or suit filed against it by any subcontractor and prompt notice of any claim made against the Vendor by any subcontractor or Vendor, which in the opinion of the Vendor may result in litigation related in any way to this contract with the State of Alabama.

In the event of a proposal submitted jointly by more than one organization, one organization must be designated as the prime Vendor and must have responsibility for the project management and not less than 60 percent of the work to be performed (as measured by price). All other participants shall be designated as subcontractors. The State encourages Vendors to consider the use of minority and small business firms as subcontractors.

5.1.17 State Ownership

The State of Alabama shall have all rights of ownership in software, any modifications thereof, and all associated documentation designed, developed or enhanced by the Vendor for the Recipient Subsystem in the performance of its duties under this agreement. The Vendor shall obtain for the Agency any necessary licenses for all commercial or proprietary software not owned by the Vendor that is necessary for the performance of the duties and obligations expressed in this agreement. HHS reserves a royalty-free, nonexclusive, and irrevocable license to reproduce, publish, or otherwise use, and authorize others to do so, such software, modifications, and documentation.

5.1.18 Firm and Fixed Price

Refer to 1.1.23 Proposal Prices.

5.1.19 Vendor not Entitled to Merit System Benefits

It is expressly understood and agreed that Medicaid enters into this agreement with Vendor and any subcontractor as authorized under the provisions of this contract as an independent Vendor on a purchase of service basis and not on an employer-employee basis and not subject to State Merit System law. Under no circumstances shall the Vendor be entitled to receive the benefits guaranteed to State employees under the Merit System Act.

5.1.20 Conservation of Resources

To the extent practicable and economically feasible, the Vendor shall utilize products and services that conserve natural resources and protect the environment and are energy efficient.

5.2 Termination

This Contract may be terminated by Medicaid for any and all of the following reasons:

- In the event of the insolvency of or declaration of bankruptcy by the Vendor
- For any default by the Vendor
- In the event sufficient appropriated, obligated funds from either State or Federal sources no longer exist for the payment of Medicaid's obligation herein under
- For the convenience of Medicaid

Each of these is described in the following subsections.

5.2.1 Termination for Bankruptcy

The filing of a petition for voluntary or involuntary bankruptcy or a company or corporate reorganization pursuant to the Bankruptcy Act shall, at the option of the Agency, constitute default by the Vendor effective the date of such filing. The Vendor shall inform the Agency of any such action(s) immediately upon occurrence by the most expeditious means possible (i.e., telephone, fax, Federal Express (FedEx), regular mail, etc.).

5.2.2 Termination for Default

The Agency may, by written notice, terminate performance under these contracts, in whole or in part, for failure of the Vendor to perform any of the material contract provisions. In the event the Vendor defaults in the performance of any of the Vendor's material duties and obligations, written notice shall be given to the Vendor specifying default. A copy of the written notice shall be sent to the Surety for the Vendor's Performance Bond.

The Vendor shall have 30 calendar days, or such additional time as agreed to in writing by the Agency, after the mailing of such notice to cure any default. In the event the Vendor does not cure a default within 30 calendar days, or such additional time allowed by the Agency, the Agency at its option may notify the Vendor in writing that performance under the contract is terminated and proceed to seek appropriate relief from the Vendor and Surety. If it is determined, after notice of termination for default, that the Vendor's failure was due to causes beyond the control of and without error or negligence of the Vendor, the termination shall be deemed a termination for convenience under *Section 5.2.4*.

5.2.3 Termination for Unavailability of Funds

Performance by the State of Alabama of any of its obligations under these contracts is subject to and contingent upon the availability of State and Federal monies lawfully applicable for such purposes. If the State of Alabama, in its sole discretion, deems at any time during the term of these contracts that adequate monies lawfully applicable to this agreement shall not be available for the remainder of the term, the Agency shall promptly notify the Vendor to that effect, whereupon the obligations of the parties hereto shall end as of the date of the receipt of

such notice and the contract shall at such time be canceled without penalty to the State of Alabama or the Federal Government.

5.2.4 Termination for Convenience

The Agency may terminate performance of work under the Contract in whole or in part whenever, for any reason, the Agency, in its sole discretion determines that such termination is in the best interest of the State. In the event that the Agency elects to terminate the contract pursuant to this provision, it shall so notify the Vendor by certified or registered mail, return receipt requested. The termination shall be effective as of the date specified in the notice. In such event, the Vendor will be entitled only to payment for all work satisfactorily completed and for reasonable, documented costs incurred in good faith for work in progress. The Vendor will not be entitled to payment for uncompleted work, or for anticipated profit, unabsorbed overhead, or any other costs.

5.3 The Vendor's Duties Upon Expiration/Termination

5.3.1 Procedure for Termination

Prior to the conclusion of these contracts, the Vendor shall provide, at no extra charge, full support and assistance in turning over the complete and current deliverables to the Agency or its agent. The Agency desires a low-risk turnover that is transparent. Specific objectives are to provide for an orderly, complete, and controlled transition to a successor Vendor and to minimize any disruption of processing and services provided.

The Vendor must:

- Stop work under these contracts on the date and to the extent specified in the notice of termination
- Place no further orders or subcontracts for materials or services, except as may be necessary for completion of such portion of work under these contracts as is not terminated
- Terminate all orders and subcontracts to the extent that they relate to the performance of work terminated by the notice of termination
- Assign to the Agency, in the manner and to the extent directed by the Agency, all of the rights, title, and interest of the Vendor under the orders or subcontracts so terminated, in which case the Agency shall have the right, in its discretion, to settle, pay, or deny any or all claims arising out of the termination of such orders and subcontracts
- With the prior approval or ratification of the Agency, settle all outstanding liabilities and all claims arising out of such termination of orders and subcontracts, the cost of which would be reimbursable in whole or in part, in accordance with the provisions of these contracts. Failure to obtain prior approval shall result in loss of the Agency reimbursement.
- Complete the performance of such part of the work as shall not have been terminated by the notice of termination
- Take such action as shall be necessary, or as the Agency shall direct, for the protection and preservation of any and all property or information related to these contracts which

is in the possession of the Vendor and in which the Agency has or shall acquire an interest

5.3.2 Termination Claims

After receipt of a notice of termination, Vendor must submit to the Recipient Subsystem Project Manager and the Primary Coordinator any termination claim in the form and with the certification prescribed by the Recipient Subsystem Project Manager and the Primary Coordinator. Such claim shall be submitted promptly but in no event later than 60 days from the effective date of termination. Upon failure of the Vendor to submit its termination claim within the time allowed, the Recipient Subsystem Project Manager and the Primary Coordinator may, subject to any review required by the State procedures in effect as of the date of execution of the contract, determine, on the basis of information available, the amount, if any, due to the Vendor by reason of the termination and shall thereupon cause to be paid to the Vendor the amount so determined.

Upon receipt of notice of termination, Vendor must have no entitlement to receive any amount for lost revenues or anticipated profits or for expenditures associated with this or in any other contract. Vendor shall be paid only by the following upon termination:

- At the contract price(s) for completed deliverables and services delivered to and accepted by Medicaid
- At a price mutually agreed by the Vendor and Medicaid for partially completed deliverables

In the event of the failure of the Vendor and Medicaid to agree in whole or in part as to the amounts with respect to costs to be paid to the Vendor in connection with the total or partial termination of work pursuant to this article, Medicaid shall determine on the basis of information available the amount, if any, due to the Vendor by reason of termination and shall pay to the Vendor the amount so determined.

5.4 Employment

5.4.1 Nondiscrimination Compliance

The Vendor shall comply with title VII of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act of 1973, the Age Discrimination Act of 1975, Executive Order No. 11246, as amended by Executive Order No. 11375, both issued by the President of the United States, the Americans with Disabilities Act of 1990, and with all applicable Federal and State laws, rules and regulations implementing the foregoing statutes with respect to nondiscrimination in employment. The Vendor shall not discriminate against any employee or applicant for employment because of a physical or mental disability in regard to any position for which the employee or applicant is qualified. The Vendor agrees to take affirmative action to employ, advance in employment, and otherwise treat qualified disabled individuals without discrimination based on their physical or mental disability in all employment practices.

5.4.2 Small Businesses, Minority-Owned Firms, and Women's Business Enterprises Utilization

In accordance with the provisions of 45 CFR Part 74 and Office of Management and Budget (OMB) Circular A-102, affirmative steps shall be taken to assure that small businesses, minority-owned firms and women's business enterprises are utilized when possible as sources of supplies, equipment, construction, and services.

5.4.3 Worker's Compensation

The Vendor must take out and maintain during the initial term of these contracts and any renewal thereof, worker's compensation insurance for all of its employees working as part of this Contract; and, in the event any work is subcontracted, the Vendor must require any subcontractor similarly to provide worker's compensation insurance for all the latter's employees working as a part of this Contract.

5.4.4 Other Insurance

The Vendor must obtain, pay for, and keep in force the following minimum insurance coverage and shall furnish a certificate to the Agency evidencing that such insurance is in effect.

- Comprehensive general liability policy with endorsement to insure contractual liability, personal injury, personal and advertising liability waiving right of subrogation against the State
- Liability insurance against bodily injury or death of any one person in any one accident in the amount of five hundred thousand dollars ($500,000) and in the amount of $1,000,000.00 for the injury or death of more than one person in any accident. Insurance against liability for property damages in the amount of $100,000.00)

It shall be the responsibility of the Vendor to require any subcontractor to secure the same insurance coverage as prescribed herein for the Vendor, and to furnish to the Agency a certificate or certificates evidencing that such insurance is in effect. Evidence of insurability under these provisions shall be directed to the Agency. In addition, the Vendor must indemnify and save the State harmless from any liability arising out of the Vendor’s or any subcontractor's untimely failure in securing adequate insurance coverage as prescribed herein. All such coverage shall remain in full force and effect during the initial term of these contracts and any renewal thereof.

5.4.5 Employment of State Staff

The Vendor shall not knowingly engage on a full-time, part-time, or other basis during the period of these contracts, any professional or technical personnel who are or have been in the employ of the Agency during the previous 12 months, except regularly retired employees or contractual consultants, without the written consent of the Agency. Certain Agency employees may be subject to more stringent employment restrictions under the Alabama Code of Ethics, §36-25-1, et seq., Code of Alabama 1975.

5.4.6 Additional Terms and Conditions For Vendor’s Personnel

The Vendor warrants and represents that all persons including independent Vendors and Vendors assigned by it to the performance of this contract shall be agents of the Vendor and shall be fully qualified to perform the work required herein. The Vendor must include a similar provision in any contract with any subcontractor selected to perform work there under.

Medicaid shall have the absolute right to approve or disapprove Vendor's staff assigned to this contract, to approve or disapprove any proposed changes in staff, and to require the removal or reassignment of any Vendor employee or subcontractor employee found unacceptable by Medicaid. The Vendor may terminate any of its personnel assigned to the project for a violation of law or company policy without Agency prior approval. Upon request, Vendor must provide Medicaid with a resume of any member of its staff or its subcontractor's staff assigned to or proposed to be assigned to any aspect of the performance of this contract.

Personnel commitments made in Vendor's proposal shall not be changed except as hereinabove provided, or due to a resignation of any named individual. Vendor staffing will include the named individuals at the levels of effort proposed in the Vendor's proposal. Replacement of any personnel will be with personnel of equal ability and qualifications as determined by Medicaid. No diversion of staffing will be made by the Vendor without prior written consent of Medicaid.

Vendor must provide staff to perform all tasks specified as the Vendor's responsibilities in this RFP. The staff level must be maintained at the level stated in the proposal or as authorized in writing by Medicaid for the duration of the contract.

Failure of the Vendor to provide staffing at the contracted and Medicaid approved level may result in liquidated damages.

The Vendor will commit all personnel specified in this proposal to this contract unless Medicaid exercises its option to have a staff person removed. Medicaid will be provided unrestricted access to appropriate Vendor personnel for discussion of problems or concerns.

5.4.7 Federal Involvement Practices Requirements

The Vendor will not discriminate against any employee or applicant for employment because of race, color, religion, sex, national origin, age, marital status, political affiliation, or disability. The Vendor will take affirmative action to employ and treat employees during employment without discrimination because of their race, color, religion, sex, national origin, age, marital status, political affiliation, or disability. Such action will include, but will not be limited to, the following:

- Employment
- Upgrade
- Promotion
- Demotion
- Transfer
- Recruitment
- Advertisement for Recruitment
- Layoff
- Termination
- Rates of pay or other compensation
- Selection for training (including apprenticeship)

The Vendor agrees to post in conspicuous places, available to employees and applicants for employment, notices setting forth the provision of this nondiscrimination clause.

The Vendor will in all solicitations or advertisements for employees, placed by or on behalf of the Vendor, state that all qualified applicants will receive consideration for employment without regard to race, color, religion, sex, national origin, age, marital status, political affiliation, or disability except where it relates to a bona fide occupational qualification.

5.5 Guarantees, Warranties, and Certifications

5.5.1 Security and Release of Information

The Vendor shall take all reasonable precautions to ensure the safety and security of all information, data, procedures, methods, and funds involved in the performance under these contracts, and shall require the same from all employees so involved. In compliance with 42 CFR §431.300 et seq., the Vendor shall conform to the requirements of Federal and State regulations regarding confidentiality of information about eligible beneficiaries. The Vendor shall not release any data or other information relating to the Alabama Medicaid Program without prior written consent of the Agency. This provision covers both general summary data as well as detailed, specific data. The Vendor shall not be entitled to use of Alabama Medicaid Program data in its other business dealings without prior written consent of the Agency. All requests for program data shall be referred to the Agency for response by the Commissioner only.

Vendor must treat all information, including that relating to beneficiaries and providers, which is obtained by the Vendor through his/her performance under the contract as confidential information, and shall not use any information so obtained in any manner except as necessary for the proper discharge of its obligations and securement of its rights herein, or as otherwise provided for herein. Medicaid, the Attorney General, Federal officials as authorized by Federal law or regulations, or the authorized representatives of these parties shall have access to all confidential information in accordance with the requirements of State and Federal laws and regulations. Any other party will be granted access to confidential information only after complying with requirements of State and Federal laws and regulations pertaining to such access. Medicaid shall have absolute authority to determine if any other party has properly obtained the right to have access to this confidential information.

5.5.2 Federal Nondisclosure Requirements

Each officer or employee of any person to whom Social Security information is or may be disclosed shall be notified in writing by such person that Social Security information disclosed to such officer or employee can be only used for authorized purposes and to that extent and any other unauthorized use herein constitutes a felony punishable upon conviction by a fine of as much as five thousand dollars ($5,000.00) or imprisonment for as long as five years, or both, together with the cost of prosecution. Such person shall also notify each such officer or employee that any such unauthorized further disclosure of Social Security information may also result in an award of civil damages against the officer or employee in an amount not less than $1,000.00 with respect to each instance of unauthorized disclosure. These penalties are prescribed by IRC Sections 7213 and 7431 and set forth at 26 CFR 301.6103(n).

Additionally, it is incumbent upon the Vendor to inform its officers and employees of penalties for improper disclosure implied by the Privacy Act of 1974, 5 USC 552a. Specifically, 5 USC

552a (1) (1), which is made applicable to the Vendors by 5 USC 552a (m) (1), provides that any officer or employee of the Vendor who, by virtue of his/her employment or official position, has possession of or access to Agency records which contain individually identifiable information, the disclosure of which is prohibited by the Privacy Act or regulations established there under, and who knowing that disclosure of the specific material is prohibited, willfully discloses that material in any manner to any person or agency not entitled to receive it, shall be guilty of a misdemeanor and fined not more than five thousand dollars ($5,000.00).

5.5.3 Health Insurance Portability and Accountability Act of 1996 Requirements

All parties shall comply with the provisions of the Health Insurance Portability and Accountability Act of 1996 (HIPAA) and any implementing regulations as adopted.

5.5.4 Share of Contract

No official or employee of the State of Alabama shall be permitted any share of these contracts or any benefit that may arise there from.

5.5.5 Provision of Gratuities

Neither the Vendor nor any person, firm or corporation employed by the Vendor in the performance of these contracts shall offer or give, directly or indirectly, to any employee or agent of the State, any gift, money or anything of value, or any promise, obligation or contract for future reward or compensation at any time during the term of these contracts.

5.5.6 Conflict of Interest

The Vendor covenants that it presently has no interest and shall not acquire any interest, direct or indirect, which would conflict in any manner or degree with the performance of its services hereunder. The Vendor further covenants that in the performance of these contracts no person having any such known interests shall be employed by the Vendor.

5.5.7 Debarment

The Vendor certifies that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this contract by any Federal department or agency.

5.5.8 Performance Bond

In order to assure full performance of all obligations imposed on a Vendor contracting with the State of Alabama, the Vendor will be required to provide a performance guarantee in the amount of $250,000.00. The performance guarantee must be submitted by Vendor at least 10 calendar days prior to the contract start date. The form of security guarantee shall be one of the following: (1) Cashier’s check (personal or company checks are not acceptable) (2) Other type of bank certified check (3) Money order (4) An irrevocable letter of credit (5) Surety bond issued by a company authorized to do business within the State of Alabama. This bond shall be in force from that date through the term of the operations contract and 90 calendar days beyond and shall be conditioned on faithful performance of all contractual obligations. Failure of the Vendor to perform satisfactorily shall cause the performance bond to become due and payable to the State of Alabama. The Alabama Medicaid Agency, Office of the General Counsel shall be

custodian of the performance bond. Said bond shall be extended in the event the Agency exercises its option to extend the operational contract.

5.5.9 Indemnification

The Vendor agrees to indemnify, defend and hold harmless the State, the Agency, and their officers, agents and employees (hereinafter collectively referred to as "indemnitees"), for all claims, losses, or suits accruing or resulting from the Vendor's performance or non-performance of its duties under these contracts. The Vendor, at its own expense, shall defend any claim or suit which may be brought against the State for the infringement of any patents, copyrights, proprietary rights, or right of privacy arising from the Vendor's or State's use of any equipment, materials, or information prepared or developed in conjunction with performance of these contracts. The Vendor shall, in any such suit, satisfy any final judgment for infringement. Any Federal sanction or damages, other than those specified herein, imposed upon the State due to the Vendor's failure to perform its responsibilities under these contracts shall be paid by the Vendor.

The Vendor hereby waives, releases, relinquishes, discharges and agrees to indemnify, protect and hold harmless the indemnitees of and from any and all claims, demands, liabilities, loss, costs or expenses for any loss or damage, (including but not limited to bodily injury or personal injury including death, property damage, workers' compensation benefits, employment benefits, libel, slander, defamation of character, and invasion of privacy) and attorney fees, caused by, growing out of, or otherwise happening in connection with these contracts, due to any act or omission (whether intentional or negligent, through theft or otherwise), or due to any breach of this contract, or due to the application or violation of any pertinent Federal, State or local law, rule, policy, or regulation by the Vendor.

This indemnification applies whether: (1) the activities involve third-parties or employees, subcontractors or agents of the Vendor or indemnitees, or (2) a claim results in a monetary obligation that exceeds any contractual commitment.

This indemnification extends to the successors and assigns of the Vendor, and this indemnification and release survives the termination of this contract and the dissolution or, to the extent allowed by law, the bankruptcy of the Vendor.

The Vendor must, at its expense, be entitled to and shall have the duty to participate in the defense of any suit against the indemnitees. No settlement or compromise of any claim, loss, or damage asserted against indemnitees shall be binding upon the indemnitees unless expressly approved by the indemnitees.

5.5.10 Compliance with Environmental Standards

The Vendor agrees to comply with all applicable standards, orders or regulations issued pursuant to the Clean Air Act, 42 U.S.C. 7401 et seq. and the Federal Water Pollution Control Act, as amended 33 U.S.C. 1251 et seq., Executive Order 11738, and other Environmental Protection Agency (EPA) regulations.

5.5.11 Waiver

No covenant, condition, duty, obligation, or undertaking contained in or made a part of these contracts shall be waived except by written agreement of the parties expressly acknowledging this waiver as a modification of the contracts.

5.5.12 Warranties Against Broker's Fees

The Vendor warrants that no person or selling agency has been employed or retained to solicit or secure these contracts upon an agreement or understanding for a commission, percentage, brokerage, or contingent fee except bona fide employees. For breach of this warranty, the Agency shall have the right to terminate these contracts without liability to the Agency.

5.5.13 Novation

In the event of a change in the corporate or company ownership of the Vendor, the Agency may, subject to approval by HHS and a determination by the Agency that the successor can meet the needs of the Agency, recognize the successor's interest in the transfer of these contracts. The new corporate or company entity shall agree to the terms of the original Contract and any amendments thereto. During the interim between legal recognition of the new entity and the Agency execution of the novation agreement, valid contracts shall continue to exist between the Agency and the original Vendor. When, to the Agency's satisfaction, sufficient assets necessary for the performance of these contracts have been transferred from the original Vendor, the Agency shall approve the novation agreement.

5.6 Disputes and Litigation

5.6.1 Attorneys Fees

In the event that the State shall prevail in any legal action arising out of the performance or non-performance of this Contract, the Vendor must pay, in addition to any damages, all expenses of such action including reasonable attorneys fees and costs. This requirement applies regardless of whether the Agency is represented by staff counsel or outside counsel. Fees and costs of defense shall be deemed to include administrative proceedings of all kinds, as well as all actions at law or equity.

5.6.2 Disputes

Except in those cases where the proposal response exceeds the requirements of the RFP, any conflict between the proposal response of the Vendor and the RFP shall be controlled by the provisions of the RFP. Any disputes concerning a question of fact arising under the contract, which is not disposed of by agreement, shall be decided by the Recipient Subsystem Project Manager and the Primary Coordinator who shall reduce their decision to writing and mail or otherwise furnish a copy thereof to the Vendor. The decision of the Recipient Subsystem Project Manager and the Primary Coordinator shall be final and conclusive unless within 10 calendar days from the date of receipt of such copy, the Vendor mails or otherwise furnishes a written appeal to the Commissioner of Medicaid. The decision of the Commissioner or her/his duly authorized representative for the determination of such appeals shall be final and conclusive unless determined by a court of competent jurisdiction to have been fraudulent, or capricious or arbitrary, or so grossly erroneous as necessarily to imply bad faith under the Alabama

Administrative Procedure Act. In connection with any appeal proceeding under this clause, the Vendor must be afforded an opportunity to be heard and to offer evidence in support of his appeal. Pending a final decision of a dispute herein under, the Vendor must proceed diligently with the performance of the contract in accordance with the disputed decision. The Vendor's sole remedy for the settlement of any and all disputes arising under the terms of this agreement concerning compensation claimed to be due and payable to the Vendor, or any aspect of the performance of duties by the Vendor shall be limited to the filing of a claim with the Board of Adjustment for the State of Alabama.

For any and all disputes arising under the terms of this contract, the parties hereto agree, in compliance with the recommendations of the Governor and Attorney General, when considering settlement of such disputes, to utilize appropriate forms of non-binding alternative dispute resolution including, but not limited to, mediation by and through the Attorney General's Office of Administrative Hearings or where appropriate, private mediators.

5.6.3 Litigation

Any litigation brought by the Agency or the Vendor regarding any provision of these Contracts shall be brought in either the Circuit Court of Montgomery County, Alabama, or the United States District Court for the Middle District of Alabama, Northern Division, according to the jurisdictions of these courts. This provision is not intended to, nor shall it operate to, enlarge the jurisdiction of either of said courts, but is merely an agreement and stipulation as to venue.

5.7 Records

5.7.1 Records Retention and Storage

In accordance with 45 CFR §74.53, the Vendor shall maintain financial records, supporting documents, statistical records, and all other records pertinent to the Alabama Medicaid Program for a period of three years from the date of the final payment made by the Agency to the Vendor under this Contract. However, if audit, litigation, or other legal action by or on behalf of the State or Federal government has begun but is not completed at the end of the three-year period, or if audit findings, litigation, or other legal action have not been resolved at the end of the three-year period, the records shall be retained until resolution.

5.7.2 Inspection of Records

The Vendor agrees that representatives of the Comptroller General, HHS, the General Accounting Office, the State of Alabama Department of Examiners of Public Accounts, the Agency, and their authorized representatives shall have the right during business hours to inspect and copy the Vendor's books and records pertaining to contract performance and costs thereof. The Vendor shall cooperate fully with requests from any of the agencies listed above and shall furnish free of charge copies of all requested records. The Vendor may require that a receipt be given for any original record removed from the Vendor's premises.

The Vendor agrees to make available at its central business office at all reasonable times during the period set forth below any of the records of the contracted work for inspection or audit by any authorized representative of Medicaid or their duly authorized representative.

A file and report retention schedule shall be developed by the Vendor and approved by Medicaid. The Vendor shall maintain the schedule and Medicaid will approve all changes.

5.7.3 System Documentation

The awarded Vendor shall establish and utilize documentation update procedures, including status report meetings with the Agency, to ensure that the AMMIS documentation remains current at all times. The Vendor shall maintain the master copy of all AMMIS documentation and shall furnish the Agency with one complete copy by start of operations, and one copy of each update. The Vendor shall provide the Recipient Subsystem Deputy Project Manager with a complete copy of all system documentation (e.g., all detailed system designs, data element dictionary, systems manuals, user manuals, provider manuals, etc.) prior to going live. The Vendor shall incorporate any requirement change into all necessary documentation within five days of implementation.

5.8 Method of Payment and Invoicing

The Agency shall provide payment to the Vendor in accordance with the Alabama Medicaid Agency Vendor's proposal sheet and the Pricing Schedules in Appendices F and G of this RFP.

Payment shall be made monthly for the Agency approved Vendor staff hours worked and tasks/deliverables/requirements received and approved (as specified in Price Schedule II).

The Vendor shall submit invoices to the Recipient Subsystem Project Manager on a monthly basis for approved services and deliverables rendered to the Agency in the previous month. Each monthly invoice shall have a cover letter/memo addressed to the Recipient Subsystem Project Manager printed on the Vendor's company letterhead. Attached to the Vendor's letter/memo shall be the Vendor's invoice. The invoice shall contain summary level descriptions of each invoiced line item. All Vendor staff signed timesheets for the billing period must be attached to the invoice. The Vendor's staff resource and the Vendor's Project Lead must sign each Vendor staff's timesheet. Items appearing on the monthly Vendor's invoice must be line items identified as part of this contract, invoiced according to the Vendor's fixed quoted price for deliverables and a computed summary level cost for the Vendor's staff hours worked based upon the Vendor's quoted Rate Per Hour for each staff member multiplied by the actual hours worked. ***The total accumulated hours for each Vendor staff resource must not exceed the total hours quoted for each staff resource by the Vendor in their proposal response.*** One full copy of the invoice documentation (cover letter, invoice, and timesheets) shall also be provided to the Primary Coordinator.

During the life of the Contract for this RFP, payment of 90 percent of the amount proposal per task/deliverable/requirement will be paid to the Vendor following the Agency's approval of tasks/deliverables/requirements for services rendered with the exceptions noted below. The Agency will retain an amount equal to 10 percent of each task/deliverable/requirement cost (withholding) which will be paid to the Vendor at the successful completion of all tasks. The Awarded Vendor's monthly invoices must show the 10 percent withholding amount for task/deliverables/requirements deducted from the total amount of the invoice. ***The total amount billed under this RFP by the Vendor, including the 10 percent withholding, shall and cannot exceed the total fixed price agreed to under this contract.***

5.9 Damages

5.9.1 Liquidated Damages

The purpose of liquidated damages is to ensure adherence to the performance requirements in these Contracts. No punitive intention is inherent. It is agreed by the Agency and the Vendor that, in the event of a failure to meet the contract requirements, damage shall be sustained by the Agency, and that it is and shall be impractical and extremely difficult to ascertain and determine the actual damages which the Agency shall sustain in the event of, and by reason of, such failure; and it is therefore agreed that the Vendor shall pay the Agency for such failures at the sole discretion of the Agency according to the following subsections (unless these damages are waived by Medicaid). These deliverables are also subject to the 10 percent withheld by Medicaid as outlined in Section 1.13.

DELIVERABLES

Requirement: All requirements/deliverables identified in Section 2.

Liquidated Damages: Medicaid shall assess damages in the amount of $500.00 per working day or any part thereof after the day identified in the individual sections that the requirement/deliverable is not met.

Requirement: Medicaid may identify any other condition resulting from the Vendor non-compliance with the RFP and contract through routine monitoring activities. Medicaid will notify the Vendor in writing of the non-compliance and designate a reasonable time for correction of the non-compliance.

Liquidated Damages: Damages in the amount of $200.00 shall be assessed for each working day or any part thereof after the designated time for correction until the correction of the noncompliance.

Requirement: Personnel proposed for the project must be committed and significantly engaged with the project. Inexperienced personnel must not be substituted for the proposed personnel. Should specific personnel proposed by the Vendor not be available, or if Medicaid determines that key personnel are not providing an adequate amount of time onsite or are not performing in accordance with Medicaid's expectations, Medicaid reserves the right to cancel the project and all prior agreements with the Vendor. Medicaid shall allow the Vendor reasonable time to replace key personnel not to exceed four weeks from the date Medicaid was notified of the personnel loss.

Liquidated Damages: Medicaid reserves the right to impose liquidated damages of up to 10 percent of the total proposed project price should specific personnel proposed by the Vendor not be available, or become materially absent during the course of the project.

Written notification of each failure to meet contractual requirements shall be given to the Vendor. The imposition of liquidated damages is not in lieu of any other remedy available to the Agency. The Agency shall withhold from the Vendor reimbursements amounts necessary to satisfy any damages imposed.

A decision by the Agency not to exercise this damage clause in a particular instance shall not be construed as a waiver of the Agency's right to pursue future assessment of that performance requirement and associated damages. The Agency may, at its sole discretion, return all or a

portion of any liquidated damages collected, as an incentive to the Vendor for prompt and lasting correction of performance problems.

5.9.2 Payment of Damages

Amounts owed the Agency due to liquidated damages shall be deducted by the Agency from any money payable to the Vendor pursuant to this Contract. These amounts may be deducted from any actual damages claimed by the Agency in the event of litigation for non-compliance and default.

5.9.3 Limitation of Liability

The Agency's remedies and the Vendor's direct liability to the Agency shall be limited to one and a half times the value of the Contract. This limitation shall not apply to tangible property damage or personal injury. The limitation of liability is applicable solely to the Vendor's direct liability to the Agency. Nothing in this section shall be construed as limiting the Vendor's obligation to indemnify the Agency as expressed in the *Indemnification* section of this RFP. The Vendor understands and agrees that its obligation to indemnify the Agency as expressed in the *Indemnification section* of this RFP is not subject to this limitation.

5.10 Other Requirements

5.10.1 The Vendor's Liaison

The Vendor's Account Manager shall serve as liaison and shall be available and responsible, as the need arises, for consultation and assistance with the Agency personnel; he/she shall attend, upon request, Agency meetings, meetings and hearings of legislative committees and interested governmental bodies, agencies, and officers; and he/she shall provide timely and informed responses to operational and administrative problems whenever arising in administration of the Alabama Medicaid Program. Whenever the Account Manager is not available, the Vendor shall provide a designated alternate that is fully capable of meeting the requirements of this section.

5.10.2 Recipient Subsystem Deputy Project Manager

The Agency's Recipient Subsystem Deputy Project Manager shall be responsible for coordination of implementation activities with the Vendor. Said Recipient Subsystem Deputy Project Manager, his/her designee(s), and Agency implementation personnel shall have reasonable access to the Vendor's project personnel, facilities, and records for evaluating the quality, appropriateness, and timeliness of deliverables. The Recipient Subsystem Deputy Project Manager shall have authority on a reasonable basis to call meetings with the Vendor's Account Manager or designee and project personnel, as required, and to assign appropriate technical personnel of the Agency to work with designated staff of the Vendor.

5.10.3 Financial Disclosure Statement

The successful Vendor shall be required to complete a financial disclosure statement with the executed contract.

5.10.4 Inspection of Work Performed

The Agency or its authorized representative shall have the right to enter into the premises of the Vendor and all subcontractors, or such other places where duties under the contract are being performed, to inspect, monitor or otherwise the work being performed. All inspections and evaluations shall be performed in such a manner as will not unduly delay work.

5.10.5 Survival

The terms, provisions, representatives, and warranties contained in the contract shall survive the development and submission of all required deliverables and the payment of the purchase price thereof.

5.10.6 Amendments in Writing

After the award of the contract, no amendment to this contract shall be effective unless it is in writing and signed by duly authorized representatives of the Vendor and Medicaid.

5.10.7 Severability

If any provision of the contract (including terms incorporated by reference) is declared or found to be illegal, unenforceable, or void, then both Medicaid and the Vendor must be relived of all obligations arising under such provision; if the remainder of the contract is capable of performance, it shall not, at the sole option of Medicaid, be affected by such declaration or finding and shall be fully performed.

5.10.8 Choice of Law

The construction, interpretation, and enforcement of this contract shall be governed by the substantive contract law of the State of Alabama without regard to its conflict of law provisions. In the event any provision of this contract is unenforceable as a matter of law, the remaining provisions will remain in full force and effect.

5.10.9 Effective Date

Vendor acknowledges and understands that this contract is not effective until it has received all requisite State and Federal government approvals and Vendor shall not begin performing work under this contract until notified to do so by Medicaid. Vendor is entitled to no compensation for work performed prior to the effective date of this contract.

5.10.10 Authority

Each party has full power and authority to enter into and perform this contract, and the person signing this agreement has been properly authorized and empowered to enter into this contract. Each party further acknowledges that it has read this contract, understands it, and agrees to be bound by it.

APPENDIX A: INTENT TO ATTEND PRE-PROPOSAL CONFERENCE NOTIFICATION

Intent to Attend Pre-Proposal Conference Notification

This form acknowledges that _____ (company name) intends to attend the Pre-Proposal Vendor's Conference for the Recipient Subsystem RFP. This conference is **mandatory** for all vendors that will be submitting a response to the RFP. This sheet must be received at least five (5) business days in advance of the conference.

COMPANY NAME

_____

REPRESENTATIVE'S NAME (List all attending. Agency must be notified in advance of changes in representation)

_____

_____

_____

_____

_____

_____

_____

COMPANY ADDRESS

_____

_____

Phone: _____

FAX: _____

Email: _____

Date: _____

APPENDIX B: GLOSSARY OF TERMS AND ACRONYMS

Term/Acronym	Definition
24/7	This is an abbreviation for "24 hours a day, 7 days a week" which, in the context of its use in the requirements, refers to service availability, i.e., "Self Service Web Portal" web site being available to the general public 24/7 with the exception of Agency-defined scheduled maintenance downtime. Therefore, 24/7 does not necessarily mean availability of a service at all times without interruption.
AB	Aid to the Blind
Accession	Augment or add to – synonyms: addition, augmentation, extension, increase
ADA	Americans with Disabilities Act
Ad Hoc Report	A report produced for a particular purpose and not intended to become a permanent reporting requirement; claim detail reporting in support of SURS is a part of normal SURS operations and is not included as an ad hoc report.
ADI	Web Applications Desktop Integrator (Web ADI) is a self–service Oracle application accessed using a browser
AFDC	Aid to Families with Dependent Children. This welfare cash assistance program was replaced by the TANF program in 1996.
Agency	Alabama Medicaid Agency
AIDS	Acquire Immune Deficiency Syndrome
AJAX	An acronym that stands for "Asynchronous JavaScript and XML". According to W3Schools.com (http://www.w3schools.com/Ajax/Default.Asp), it is defined as the art of exchanging data with a server, and update parts of a web page – without reloading the whole page.
AKA	Also known as
Alarm	An automated notification by the system to the authorized user that an event has occurred or is taking place that has fallen outside the limits of a metric. In comparison to system alerts, an alert lets the authorized worker know that something is to take place (a warning).
ALLKids	ALL Kids is the Children's Health Insurance Program offered by the Alabama Department of Public Health for children under age 19. ALL Kids is designed for children whose family earnings are too high to qualify for Medicaid but not enough to purchase individual health insurance.
AMAES	Alabama Medicaid Application and Eligibility System. The acronym that references the current recipient subsystem. This term is only used in that context for consistency in the requirements.
AMMIS	The Alabama Medicaid Management Information System consists of all subsystems of the AMMIS except the Recipient Subsystem. Currently it is the HP interChange MMIS system. The term interChange is used to reference this system for consistency in the requirements.
Alabama MMIS (aka AMMIS)	See definition for AMMIS above.
AMMIS-RS	Alabama Medicaid Management Information System Recipient Subsystem
ANSI	American National Standards Institute
APD	Advance Planning Document
API	Application Program Interface
Applicant	A person applying for Medicaid benefits.

Term/Acronym	Definition
Applicant/eligible	An applicant or existing beneficiary (this will replace client throughout).
ASP.NET	ASASP.NET is a web application framework developed and marketed by Microsoft to allow programmers to build dynamic web sites, web applications and web services.
AVRS	Automated Voice Response System
Batch Window Availability	A reference to the percentage of time between 7:00 PM and 7:00 AM. EST, Monday through Friday, that the host computer system and supported applications are available for processing batch functions.
BENDEX	Beneficiary Data Exchange system; BENDEX is a data exchange between the State and the Social Security Administration (SSA). It provides SSA payment status and amount and Medicare data.
Beneficiary	A person receiving medical assistance from the Alabama Medicaid Agency.
BPR	Business Process Reengineering
Business Logic Tier	Also referred to as the business logic layer, domain layer usually resides in either the application or on occasion the persistence tier of a multi-tier architecture. In an application with a properly separated business logic layer and data access layer, the data access layer can be rewritten to retrieve data from a different database, without affecting any of the business logic.
C#	C Sharp
Capture	Involves scanning, digitizing, copying or linking, optionally cleaning and index/classifying documents to obtain and organize information.
CBT	Computer Based Training
CCB	Change Control Board
CD	Compact Disc
CFR	Code of Federal Regulations
Central Data Validation Function	A single access point for verification of public and program information sources. The Centralized Data Validation Function performs a verification consolidation function in which the information sources are brought together and presented as a unified set to the case worker. This feature is the reverse of a decentralized function in which the case worker performs the consolidation tasks by accessing a discrete series of disparate information sites and sources.
Checklists	A summary list of all the data elements or documents that are required to complete a business process.
CHIP	Children's Health Insurance Program
CICS	Customer Information Control System
CMM-I	Capability Maturity Model Integration
CMPPA	Computer Matching and Privacy Protection Act of 1988
CMS	Centers for Medicare & Medicaid Services
COLA	Cost of Living Allowance
Contractor	Contractor and Vendor are generally used interchangeably within this document. The Contractor refers to the Vendor to whom the Agency has awarded the contract for this RFP.
COTS	Commercial Off the Shelf: Technology which is ready-made and available for sale, lease or license to the general public.

Term/Acronym	Definition
CPU	Central Processing Unit
CROCS	Comprehensive Recipient Online Collections System
Cut-Off	Indicates start of retention. A cut-off instruction is a set of rules that initiates the cut-off for a record/group of records. It means a record enters the retention and disposition lifecycle only after the cut-off occurs.
Dashboard control report	A management report used to display in real-time numeric key performance indicators (KPI's) to track trends aligned with key business goals and activities.
Dashboard report	A visual presentation of numeric key performance indicators that are used to track trends aligned with key business goals and activities.
DB2	DB2 is a family of relational database management system (RDBMS) products from IBM that serve a number of different operating platforms.
DDI	Design, Development, and Implementation
DED	Data Element Dictionary
Delivery	Presents information from the manage, store and preserve components and contains functions used to enter information in systems or reading information for the store and preserve component.
DHR	Department of Human Resources
DIFSLA	Disclosure of Information to Federal, State, and Local Agencies
DIR	Department of Industrial Relations
DMH	Department of Mental Health
DPH	Department of Public Health
DPS	Department of Public Safety
DRS	Department of Rehabilitation Services
DSD	Detail System Design
DSS	Decision Support System. A repository of the new AMMIS Recipient Subsystem for historical and current transaction data designed to facilitate reporting and analysis.
DVD	Digital Video Disc
DYS	Department of Youth Services
E&D	Elderly and Disabled
EAI	Enterprise Application Integration
EDB	Enrollment Database: Medicare's Enrollment Database. This is the authoritative source for all Medicare entitlement information. This database contains information on all individuals entitled to Medicare, including demographic information, enrollment dates, third party buy-in information, and Medicare managed care enrollment.
EDI	Electronic Data Interchange
EDS	Electronic Data Systems is now owned by Hewlett Packard Company and is Alabama's fiscal agent for the MMIS. See "interChange" below.
Electronic Case File	An online grouping of documents tied to a beneficiary that allows the worker to access current and historical information, enter information gathered, perform maintenance activities, determine online program eligibility, and view summary information. Replaces the term Electronic Case Record.
Enterprise Content Management (ECM)	The strategies, methods, and tools used to capture, manage, store, preserve, and deliver content and documents related to organizational processes.

Term/Acronym	Definition
	(source: AIIM.org)
EPA	Environmental Protection Agency
EPSDT	Early and Periodic Screening, Diagnosis, and Treatment
EPSS	Electronic Performance Support System
ESB	Enterprise Service Bus
ESIEM	Enterprise Security Information Event Management
ETC	Estimated Time to Complete
EVS	Eligibility Verification System
EVVE	Electronic Verification of Vital Events
Exception Rule Dependencies	The term was used as one example of a feature that could potentially be available to the worker to provide a GUI view of a business rule and the other business rules that it is dependent on including the exceptions that will occur if certain dependencies are not met.
Exparte	Whenever a change in circumstances causes an individual or a case to become ineligible for Medicaid a review of eligibility is completed to evaluate for Medicaid in any possible aid program/categories. This is referred to as an exparte review.
Facets	FACETS is TriZetto's enterprise-wide software solution for health plan administration.
FDA	Food and Drug Administration
FEIN	Federal Employee Identification Number
FFP	Federal Financial Participation
File	A collection of related data or program records stored on some input/output or auxiliary storage medium.
File	A collection of related data or program records stored on some input/output or auxiliary storage medium.
FIPS	Federal Information Processing Standards
FIPS PUB	Federal Information Processing Standards Publication
FISMA	Federal Information Security Management
FMAP	Federal Medical Assistance Percentage
FOIA	Freedom of Information Act
FPL	Federal Poverty Level
FY	Fiscal Year
GUI	Graphical User Interface
Freeze	A point and time where data can no longer be updated or files will not be archived.
General Public Access Hours	This term refers to the availability of the "Self Service Web Portal" web site which is 24 hours a day, seven days a week with the exception of Agency-defined scheduled maintenance downtime.
HCBS	Home and Community Based Services
HIE	Health Information Exchange
HHS	United States Department of Health and Human Services
HIPAA	Health Insurance Portability and Accountability Act of 1996
HIS	Health Information System
HIV	Human Immunodeficiency Virus
HP	Hewlett Packard Enterprise Services

Term/Acronym	Definition
ID	Identification
IEEE	Institute of Electrical and Electronics Engineers
IEVS	Income Eligibility Verification System
IIS	Information Internet Server
Inbox	A folder that identifies the number of new unread messages sent to an email account.
InRule	InRule is a .NET solution for authoring, managing and executing business rules. It is used to leverage decision logic across multiple processes and applications with catalog-driven rule management and rule authoring.
interChange	The term used to reference AMMIS and MMIS systems. Sometimes referred to as 'HP' or 'EDS' by the state Agency.
Interim Transfer	A temporary reassignment until a permanent assignment can be executed.
IRC	Internal Revenue Code
IRS	Internal Revenue Service
ISAM	Indexed Sequential Access Method
ISD	A reference to the Alabama State Information Services Division
IT	Information Technology
ITB	Invitation To Bid
ITF	Integrated Test Facility
IV&V	Independent Verification & Validation
JAR	Joint Application Requirements
JAD	Joint Application Development
JScript	A scripting language that is implemented as a Windows Script engine and is used in Microsoft's Internet Explorer.
KnowledgeLake	KnowledgeLake develops document imaging and capture products for Microsoft SharePoint based enterprise content management solutions. It enables end users to scan and index documents, then store them in the appropriate SharePoint repository in TIFF, PDF, PDF/A, searchable PDF, and XPS file formats.
LDAP	Lightweight Directory Access Protocol
Low Confidence Area	This term was used as one of the examples given of what a logging database could potentially be used for such as identifying areas in the system like tasks in the workflow management that are prone to worker errors.
LTC	Long-Term Care
Manage	Connects the five traditional application components of 1) document management, 2) collaboration, 3) web/portal content management, 4) records management, and 5) workflow/business process management that can be used in combination or separately.
MARS	Management Administrative Reporting Subsystem
MCI	Master Client Index
Medicaid Information Services	A reference to the Alabama Medicaid Agency internal Information Services Division
MECMS	Medicaid Electronic Content management System project
MEQC	Medicaid Eligibility Quality Control
MES	Medicaid Eligibility Specialists
MITA	Medicaid Information Technology Architecture

Term/Acronym	Definition
MITA SS-A	MITA State Self-Assessment
MLIF	Medicaid for Low Income Families
MMA	Medicare Modernization Act
MMIS	Medicaid Management Information System. The MMIS in Alabama is also known as AMMIS (i.e., the Interchange system). See AMMIS and Alabama MMIS.
MS	Microsoft
MSIS	Medicaid Statistical Information System
MSP	Medicare Savings Programs
Multi-tier architecture	In software engineering, **multi-tier architecture** (often referred to as **N-Tier architecture**) is a layered architecture in which the system processes are logically (and/or optionally) physically separate. One of the most common tiered architectures is a three tier architecture consisting of a presentation, application (often referred to as business logic), and data management (often referred to as persistence layer or data access layer) tier. In addition to the three standard layers, Three-Layered Services Application defines a set of foundation services that all layers can use. These services fall into three basic categories: ▪ Security. These services maintain application security. ▪ Operational management. These services manage components and associated resources, and also meet operational requirements such as scalability and fault tolerance. ▪ Communication. These are services, such as .NET remoting, SOAP, and asynchronous messaging, which provide communication between components. In integration intensive systems it is not un-common to see the addition of a fourth integration tier
N-Tier	See multi-tier architecture
NASIRE	National Association of State Information Resource Executives
ND	New Development
NET	Non-Emergency Transportation
NIST	National Institute of Standards and Technology
Normal Business Hours or Regular Business Hours	A reference to Monday through Friday, 7:00 AM to 5:00 PM CST, with the exception of Alabama State Holidays. State noted that "…*we would eventually like to have 'regular business hours' extended to 6:00 PM if possible, but that might not start at implementation. Then, if everything were consistently going well, we could extend the hours to 6:00 PM at some point after implementation*".
Notification	A notice generated by the system to someone outside the system e.g., applicant/eligible, referral to another agency, etc.
NSS	Network & Systems Support
OCR	Optical Character Recognition
OASIS	OASIS stands for Organization for the Advancement of Structured Information

Term/Acronym	Definition
	Standards. According the web site, http://www.oasis-open.org/home/index.php, "*OASIS is a not-for-profit consortium that drives the development, convergence and adoption of open standards for the global information society. The consortium produces more Web services standards than any other organization along with standards for security, e-business, and standardization efforts in the public sector and for application-specific markets. Founded in 1993, OASIS has more than 5,000 participants representing over 600 organizations and individual members in 100 countries*".
OGC	Office of the General Counsel
OJT	On-The-Job-Training
OMB	Office of Management and Budget
One-Stop Shop	A centralized place such as the Worker Portal where eligibility staff is able to complete any intake, eligibility, enrollment, or ongoing case management activities. The One-Stop Shop is also a place where various services from participating Alabama State agencies are offered in one convenient portal to the general public – however this is not the purpose of the new Recipient Subsystem.
Online Availability	A reference to the percentage of time between 6:00 AM and 6:00 PM CST, Monday through Friday, that the host computer system and supported applications are available for online access. The period after Online availability hours will be referred to as the "Batch Window". The system will be available for Online processing during the Batch Window; performance may decline due to batch processing.
OS	Operating System
OSS	Online Single Sign-on
PA	Prior Authorization
PARIS	Public Assistance Reporting Information System
PC	Personal Computer
PDF	Portable Document Format
PERM	Payment Error Rate Measurement
Persistence Tier	The persistence tier (data access layer) provides access to permanent (persistent) storage of some kind often an entity or object relational database. Business logic methods from an application can be mapped to the Data Access Layer (DAL). So, for example, instead of making a query into a database to fetch all users from several tables the application can call a single method from a DAL which abstracts those database calls
PHI	Protected Health Information (PHI) is defined as individually identifiable health information that is transmitted by, or maintained in, electronic media or any other form or medium. Individually identifiable health information is information that is a subset of health information, including demographic information collected from an individual, and: (1) is created or received by a health care provider, health plan, employer, or health care clearinghouse; and (2) related to the past, present, or future physical or mental health or condition of an individual; the provision of health care to an individual; or the past, present, or future payment for the provision of health care to an individual; (i) that identifies the individual; or (ii) with respect to which there is a reasonable basis to believe the information can be used to identify the individual.

Term/Acronym	Definition
PHP	Partnership Hospital Program or Primary Health Provider
PI	Program Integrity
PII	Personally Identifiable Information (PII) is defined as information: (1) that directly identifies an individual (e.g., name, address, social security number or other identifying number or code, telephone number, email, address, etc.), or (2) by which an agency intends to identify specific individuals in conjunction with other data elements, i.e., indirect identification. (These data elements may include a combination of gender, race, birth date, geographic indicator, and other descriptors.)
PIN	Personal Identification Number
Presentation Tier	The presentation tier is responsible for providing the display and user interface. When multiple device support is required this layer may be split to include an integration layer that provides a framework to abstract device-specific functionality from the rest of the presentation tier.
Preserve	Involves handling the long-term, safe storage and backup static, infrequently changing information in the medium and long term.
PM	Project Manager
PMBOK	Project Management Body of Knowledge
PMI	Project Management Institute
PMO	Project Management Office
QA	Quality Assurance
Q and A (or Q/A)	Questions and Answers
QC	Quality Control
QMB	Qualified Medicare Beneficiaries
Recipient Subsystem	Term used to reference the future system for Beneficiary Services.
Record	A group of related fields, or a single field, treated as a unit and comprising part of a file or data set, for purposes of input, processing, output, or storage by a computer.
Renewal Form	A recertification application.
Reports	A summary presentation of program data that is customized for a worker or management to help them make quick and effective decisions.
REST	Representational State Transfer (REST) is a style of software architecture for distributed hypermedia systems. The term Representational State Transfer was introduced and defined in 2000 by Roy Fielding
RFP	Request for Proposal
RS	Recipient Subsystem
RS R&R	Recipient Subsystem Re-engineering and Redesign Phase II Project
SAIL	State of Alabama Independent Living
SAVE	Systematic Alien Verification for Entitlements
SCHIP	State Children's Health Insurance Program
SCO	System Change Order
SDX	State Data Exchange: The State Data Exchange (SDX) provides detailed information about benefits received by Supplemental Security Income (SSI) applicants/recipients. It is used to verify SSI benefits in determining eligibility for various public assistance programs.

Term/Acronym	Definition
Session Affinity	A common approach for ensuring a highly scalable fault tolerant system is to cluster servers at each tier of the application architecture. This can create a challenge when the servers are state aware, e.g., information on page one of an application is on server one and when page two is requested server two in the cluster is unaware of this information, One solution to this problem is "sticky session" (aka "session affinity") where each user is assigned to a single server and his/her state data is contained on that server exclusively throughout the duration of the session.
SharePoint	Microsoft SharePoint is a software platform and a family of software products developed by Microsoft for collaboration, file sharing and web publishing. Capabilities include developing web sites, portals, intranets, content management systems, search engines, wikis, blogs and other tools for business intelligence.
SLMB	Specified Low-income Medicare Beneficiaries
SM	System Modification
SME	Subject Matter Expert
SMM	State Medicaid Manual
SOA	Service Oriented Architecture
SOAP	Simple Object Access Protocol
SOBRA	Sixth Omnibus Budget Reconciliation Act
SOLQ	State Online Query
SOS	Secretary of State
SOW	Statement of Work
SQL	Structured Query Language
SS-A	MITA State Self-Assessment
SSA	Social Security Administration
SSI	Supplemental Security Income
SSN	Social Security Number
Store	Involves temporary storage of frequently changing information in the short term and audit trails.
SUR	Surveillance Utilization Review
SVES	State Verification and Exchange System
System	A reference to the overall Recipient Subsystem.
System Alert	An automatic alert that is system generated based on action(s)or lack of action(s) by the worker
TA	Technical Assessment
TALX	TALX is a subsidiary of Equifax and provides employment and salary verification, unemployment tax management and various other human resource services including payroll services.
TANF	Temporary Assistance for Needy Families
TBD	To Be Determined
TFQ	Together for Quality
TIN	Tax Identification Number
Title XIX	Title 19 of the Social Security Act; this Act pertains to Medicaid.
TMA	Transitional Medicaid Assistance

Term/Acronym	Definition
TPL	Third Party Liability
TPQY	Third Party Query
UAT	User Acceptance Testing//also User Acceptance Test
US	United States
USC	United States Code
User	A generic reference to an Agency worker, applicant, or beneficiary. Will be replaced by appropriate reference.
V1/V2	Version 1, Version 2, etc.
VSAM	Virtual Sequential Access Method
Validation	A check that the correct format is being used.
Vendor	Vendor and Contractor are generally used interchangeably within this document. Vendor refers to entities/companies that intend to bid on this RFP. The selected Vendor becomes the Contractor.
Verification	A check that the actual information is correct.
WBS	Work Breakdown Structure
WBT	Web Based Tutorial
WIC	Women, Infants, and Children
Worker	An employee of the Alabama Medicaid Agency responsible for processing applicant/beneficiary information. The term 'worker' will be used instead of 'user' or 'caseworker' where appropriate in requirements for purposes of consistency.
Worker Alert	A reminder set by the worker. Term used instead of 'tickler'.
XML	Extensible Markup Language

APPENDIX C: MANDATORY REQUIREMENTS

Note: Will be added later

APPENDIX D: REQUIREMENTS RESPONSE MATRIX

Complete Columns A-E in the Requirements Response Matrix below using the following instructions for each column.

Instructions for Completion of Matrix

COLUMN	DESCRIPTION	VALUE
A	**Agree to meet the requirement as stated**	**Y/N**
B	**Existing capability**	**Y/N**
C	**<u>Required entry for responses with a "No" in Column B</u> Requirement will be met with system modification (SM) of an existing solution or will be met with new development (ND)**	**SM or ND**
D	**<u>Required entry for responses with a "No" in Column B</u> DDI Hours to meet requirement as stated**	**# of DDI Hours**
E	**Reference to Proposal Section for proposed solution**	**Hyperlink to location in proposal**

Note: For all mandatory requirements, column A must be marked "Y" in order to be considered responsive. The reference requirement number in the table below will be used to track the requirement throughout the project. System modifications should explain the type of modification (i.e., change rules engine or modification/addition to system code). The level of effort will be determined by # of hours estimated in column D. The proposal description referenced by Column E should have a description of how the requirement will be met.

System Requirements are grouped for organizational purposes only. Requirements may apply to more than one domain, business unit, workers, program, etc. whether specifically stated or not.

Requirements Response Matrix

Req #	Optional ?	Requirement Description	A	B	C	D	E
1	N	The system will be red	Y	N			
2	N	The system will be white	Y	Y			
3	Y	The system will be blue	N	N			
4	N		Y	Y			

APPENDIX E: PRICE SCHEDULE I

Price Schedule I

Staff by Title	**# of Staff**	**Rate Per Hour**	**Est. Hours**	**Extended Price**

Grand Total: Staff_____ Hours_____
Price_____***

Grand Total **Price** on Schedule I must be transferred to and agree with Grand Total Price from Schedule listed on the bottom of Price Schedule II as **RFP Line Item #7.**

NAME OF AUTHORIZED VENDOR REPRESENTED (Printed) TITLE

SIGNATURE OF AUTHORIZED VENDOR REPRESENTED DATE

APPENDIX F: PRICE SCHEDULE II

ITEM #	DELIVERABLE NAME	FIXED TOTAL PRICE
	All deliverables must be "Approved" by the Recipient Subsystem Project Manager and/or the Executive Steering Committee before payment is made to the Awarded Vendor on a deliverable. **Staff resource hours worked for startup, planning, meetings, training, research, and other ongoing project activities are computed separately based on the Vendor's employee's actual hours worked. See Section 5.8 for details on invoicing for employee hours.** **The deliverables below are to be priced based on the Vendor's proposal for the final approved deliverable.**	
1	**PROJECT PLANNING**	
1.1	Project Plan V1	
1.2	Quarterly Project Plan	
2	**PROJECT ASSESSMENT AND CONTROL**	
2.1	Monthly Project Status Reports	
2.2	Corrective Action Plan	
3	**DECISION MANAGEMENT**	
	No associated deliverable	
4	**RISK MANAGEMENT**	
4.1	Risk Management Plan	
4.2	Lessons Learned	
5	**CONFIGURATION MANAGEMENT**	
5.1	Configuration Management Plan	
6	**REQUIREMENTS ANALYSIS & MANAGEMENT**	
6.1	Requirements Documentation	
6.2	Requirements Validation and Traceability Plan	
6.3	Requirement Change Control Plan	
6.4	Requirements Traceability Matrix	
3	**CONCEPTUAL ARCHITECTURAL DESIGN**	
7.1	Conceptual Architectural Design Methodology and Session Plan	
7.2	Conceptual Architectural System Design	
7.3	Business Rules Plan	
7.4	Workflow Plan	
8	**DETAIL DESIGN**	

8.1	Detail System Design Session Plan	
8.2	Detail System Design Document	
8.3	Business Rules Design	
8.4	Interface Detail Design	
8.5	Forms, Notifications and Templates	
8.6	Alerts Detail Design	
8.7	Reports Detail Design	
9	**SECURITY**	
9.1	Security Design Document	
9.2	User Access Security Plan	
10	**CONTINUITY OF OPERATIONS**	
10.1	Disaster Recovery Plan	
11	**TRAINING AND KNOWLEDGE MANAGEMENT**	
11.1	Training Strategy	
11.2	Comprehensive Training Plan	
11.3	End User Training Environment(s)	
11.4	Training Materials V1 and *V2	
11.5	Online User Aids	
11.6	Training and Progress Report	
11.7	Training Final Report	
11.8	Project Staff Training Plan	
12	**ORGANIZATION CHANGE MANAGEMENT**	
12.1	Comprehensive Change Management and Communication Plan	
13	**DATA CONVERSION**	
13.1	Data Conversion and Migration Strategy	
13.2	Data Conversion and Migration Plan	
13.3	Data Cleanup Plan	
13.4	Data Conversion and Migration Results	
14	**DEVELOPMENT**	
14.1	Software Development Plan	
14.2	Weekly Construction Summary Report	
14.3	Development Library	

15	**SYSTEM INTEGRATION**	
15.1	System Integration Strategy	
15.2	System Integration Plan	
16	**SYSTEM IMPLEMENTATION**	
16.1	Hardware and Software Plan	
16.2	Hardware and Software Delivery	
16.3	Pilot Implementation Plan	
16.4	Pilot Support and Operations Plan	
16.5	Pilot Test and Analysis	
16.6	Statewide Implementation Plan	
16.7	Network & Desktop and Production Requirements	
16.8	Final Readiness Assessment	
17	**TESTING**	
17.1	Master Test Plan	
17.2	Unit and Integration Test Plan and Documentation	
17.3	System Test Plan	
17.4	Interface Test Plan	
17.5	Performance, Volume and Stress Test Plan	
17.6	Conversion and Migration Test Plan	
17.7	System Test Scripts	
17.8	Testing Results Weekly Report	
17.9	Conversion and Migration Weekly Test Results Report	
17.10	Performance Monitoring Plan and Weekly Report	
17.11	Operational Readiness Report	
18	**QUALITY ASSURANCE**	
18.1	Quality Assurance Plan	
18.2	Quality Assurance Review	
19	**SOFTWARE VERIFICATION**	
	No associated deliverable	
20	**SOFTWARE VALIDATION**	

	No associated deliverable	
21	**SOFTWARE REVIEWS**	
	No associated deliverable	
22	**SOFTWARE PROBLEM RESOLTUIONS PROCESS**	
22.1	Software Resolution Plan	
23	**SOFTWARE AUDITS**	
9.1	No associated deliverable	
24	**SOFTWARE ACCEPTANCE**	
9.1	No associated deliverable	
25	**USER ACCEPTANCE TESTING**	
25.1	UAT Test Environment and Tools	
25.2	Weekly UAT Status Reports	
25.3	Operational Readiness Report	
26	**SOFTWARE IMPLEMENTATION**	
26.1	No associated deliverable	
27	**TRANSITION AND MAINTENANCE**	
27.1	Transition Plan	
27.2	Post-Implementation Evaluations	
27.3	System Updated Documentation	
28	**DOCUMENT MANAGEMENT**	
28.1	Document Management Plan	
29	**OPERATIONS**	
29.1	Operating Procedures	
29.2	Help Desk Transition Plan	
29.3	Help Desk Plan	
29.4	Help Desk Procedures Manual	
30	**FEDERAL REVIEW AND CERTIFICATION**	
30.1	Assist with Federal Review	

NAME OF AUTHORIZED VENDOR REPRESENTED (Printed)	TITLE
SIGNATURE OF AUTHORIZED VENDOR REPRESENTED	DATE

APPENDIX G: SAMPLE COMPUTER ACCEPTABLE USE AGREEMENT

Alabama Medicaid Agency
Medicaid

In order to help keep our computer network environment safe, there are a few steps that need to occur prior to a non-Alabama Medicaid computer laptop plugging into the network. There are basically three parts to the process described in detail below.

Part I

If you, as an Alabama Medicaid staff member, have someone external scheduled for a visit, please check with him/her prior to his/her visit to inquire if he/she will need to plug in any computers/laptops to the network. If so, send the visitor the checklist in Part III of this document in advance of his/her visit to help ensure he/she prepares his/her computer/laptop with any required updates and anti-virus definitions. Also, inform your visitor to be sure to arrive with enough time before requiring network access to have his/her computer/laptop verified prior to plugging in.

If your visitor does not need access to the Alabama Medicaid network, then none of this applies.

Part II

Upon check-in at the reception desk, the visitor (or Contractor/Vendor) will check on the sign in sheet whether or not he/she needs access to the Alabama Medicaid network. If the visitor checks "Yes," he/she will be directed to a Network & Systems Support (NSS) staff member to have his/her computer/laptop verified for safety prior to plugging into the Alabama Medicaid network.

At that time, the visitor will provide his/her name and contact information on the Checklist Form. The NSS representative will then give the visitor (or Contractor/Vendor) an estimated time when the verification process is complete.

Part III (for NSS staff member)

Below is a list of items that need to be checked before attaching a non-Medicaid computer/laptop to the network.

Under NO circumstances should you install or uninstall anything on the computer/laptop. Only check for these items, document any missing items and give the visitor (or Contractor/Vendor) that information when his/her computer/laptop is returned. If the visitor (or Contractor/Vendor) is willing to update the computer/laptop and have it rechecked, that is acceptable. However, the visitor cannot plug into the network until the computer/laptop passes inspection.

Fill out the contact information at the bottom of this form first.

Check for any form of Anti-Virus program that will prevent the device from becoming infected.

Verify that the Anti-Virus program is enabled and is actively checking the system for suspicious programs and files.

Check to see if there are any viruses that were detected by the software. Verify that the Anti-Virus definition is up to date.

Make sure that the Operating System (OS) has the latest service pack.

Check to see that Microsoft Critical Updates are installed to ensure that the Operating System is patched with security fixes. To do this:

- Go to Control Panel
- Add/Remove Programs
- Check the box to Show Updates
- Scroll to the bottom of the list to see the last date of the installed updates
- If the last update was more than a month ago, there are probably updates that are needed, since Microsoft published updates normally every month

Identify any applications that could be a security risk when connecting the device to the network. Some programs that are of concern are:

- Zone Alarm
- Bareshare

Document any items that are missing and return the computer/laptop with the information to the visitor or Contractor/Vendor. Inform the visitor that if he/she would like to perform the updates and resubmit it for approval, that is possible.

Contact Information:

Name: _____ Date and time: _____

Phone Number (where visitor or Contractor/Vendor can be reached if needed during the validation process): _____

Company:

Technician Information:

Name of NSS Technician performing validation:

Estimated time to complete validation:

This computer/laptop has been:

Approved ☐

Denied ☐

If the computer/laptop is ***approved***, it has been validated and is allowed to connect to the Alabama Medicaid network. The visitor (or Contractor/Vendor) must please review the "S600-06 Computer Acceptable Use" and "S600-07 Mobile Computing Devices" policies and sign below.

If the computer/laptop is ***denied***, it is not allowed to connect to the Alabama Medicaid network until updates are installed and the computer/laptop is re-verified and approved.

I, (print name) _____ have read and agree to the Alabama Medicaid "S600-06 Computer Acceptable Use" and "S600-07 Mobile Computing Devices" policies.

Signature_____ Date_____

APPENDIX H: DISCLOSURE STATEMENT

State of Alabama
Disclosure Statement

(Required by Act 2001-955)

ENTITY COMPLETING FORM

ADDRESS

CITY, STATE, ZIP | TELEPHONE NUMBER ( )

STATE AGENCY/DEPARTMENT THAT WILL RECEIVE GOODS, SERVICES, OR IS RESPONSIBLE FOR GRANT AWARD

ADDRESS

CITY, STATE, ZIP | TELEPHONE NUMBER ( )

This form is provided with:

☐ Contract ☐ Proposal ☐ Request for Proposal ☐ Invitation to Bid ☐ Grant Proposal

Have you or any of your partners, divisions, or any related business units previously performed work or provided goods to any State Agency/Department in the current or last fiscal year?

☐ Yes ☐ No

If yes, identify below the State Agency/Department that received the goods or services, the type(s) of goods or services previously provided, and the amount received for the provision of such goods or services.

STATE AGENCY/DEPARTMENT	TYPE OF GOODS/SERVICES	AMOUNT RECEIVED

Have you or any of your partners, divisions, or any related business units previously applied and received any grants from any State Agency/Department in the current or last fiscal year?

☐ Yes ☐ No

If yes, identify the State Agency/Department that awarded the grant, the date such grant was awarded, and the amount of the grant.

STATE AGENCY/DEPARTMENT	DATE GRANT AWARDED	AMOUNT OF GRANT

1. List below the name(s) and address(es) of all public officials/public employees with whom you, members of your immediate family, or any of your employees have a family relationship and who may directly personally benefit financially from the proposed transaction. Identify the State Department/Agency for which the public officials/public employees work. (Attach additional sheets if necessary.)

NAME OF PUBLIC OFFICIAL/EMPLOYEE	ADDRESS	STATE DEPARTMENT/AGENCY

OVER

2. List below the name(s) and address(es) of all family members of public officials/public employees with whom you, members of your immediate family, or any of your employees have a family relationship and who may directly personally benefit financially from the proposed transaction. Identify the public officials/public employees and State Department/Agency for which the public officials/public employees work. (Attach additional sheets if necessary.)

NAME OF FAMILY MEMBER	ADDRESS	NAME OF PUBLIC OFFICIAL/ PUBLIC EMPLOYEE	STATE DEPARTMENT/ AGENCY WHERE EMPLOYED

If you identified individuals in items one and/or two above, describe in detail below the direct financial benefit to be gained by the public officials, public employees, and/or their family members as the result of the contract, proposal, request for proposal, invitation to bid, or grant proposal. (Attach additional sheets if necessary.)

Describe in detail below any indirect financial benefits to be gained by any public official, public employee, and/or family members of the public official or public employee as the result of the contract, proposal, request for proposal, invitation to bid, or grant proposal. (Attach additional sheets if necessary.)

List below the name(s) and address(es) of all paid consultants and/or lobbyists utilized to obtain the contract, proposal, request for proposal, invitation to bid, or grant proposal:

NAME OF PAID CONSULTANT/LOBBYIST	ADDRESS

By signing below, I certify under oath and penalty of perjury that all statements on or attached to this form are true and correct to the best of my knowledge. I further understand that a civil penalty of ten percent (10%) of the amount of the transaction, not to exceed $10,000.00, is applied for knowingly providing incorrect or misleading information.

Signature Date

Notary's Signature Date Date Notary Expires

Act 2001-955 requires the disclosure statement to be completed and filed with all proposals, bids, contracts, or grant proposals to the State of Alabama in excess of $5,000.

APPENDIX I: BUSINESS EXPERIENCE MATRIX

Recipient Subsystem Phase II Project
Proposal Reference Summary

A	B	C	D	E	F	G	H	I	J
Project Name	**Mgmt? Yes/No**	**Summary**	**Start Date**	**End Date**	**On Time**	**On Budget**	**Litigation**	**Staff**	**Name, Title, Fax, Phone, Email**
1)									
2)									
3)									
4)									
5)									
6)									
7)									
8)									
9)									
10)									

APPENDIX J: MEDICAID BUSINESS ASSOCIATE ADDENDUM

Medicaid Business Associate Addendum

(SAMPLE)

ALABAMA MEDICAID AGENCY
BUSINESS ASSOCIATE ADDENDUM

This Business Associate Addendum (this "Agreement") is made effective the _____ day of _____, 20____, by and between the Alabama Medicaid Agency ("Covered Entity"), an agency of the State of Alabama, and _____ ("Business Associate") (collectively the "Parties").

1. BACKGROUND

a. Covered Entity and Business Associate are parties to a contract entitled _____ (the "Contract"), whereby Business Associate agrees to perform certain services for or on behalf of Covered Entity.

b. The relationship between Covered Entity and Business Associate is such that the Parties believe Business Associate is or may be a "business associate" within the meaning of the HIPAA Privacy Rule (as defined below).

c. The Parties enter into this Business Associate Addendum to the Contract with the intention of complying with the HIPAA Privacy Rule provision that a covered entity may disclose protected health information to a business associate, and may allow a business associate to create or receive protected health information on its behalf, if the covered entity obtains satisfactory assurances that the business associate will appropriately safeguard the information.

2. DEFINITIONS

Unless otherwise clearly indicated by the context, the following terms shall have the following meaning in this Agreement:

a. "Breach" shall mean the acquisition, access, use, or disclosure of protected health information which compromises the security or privacy of such information, except where an unauthorized person to whom such information is disclosed would not reasonably have been able to retain such information.

b. "Electronic Health Record" shall mean an electronic record of health-related information on an individual that is created, gathered, managed, and consulted by authorized health care clinicians and staff.

c. "Electronic Protected Health Information" means Protected Health Information that is transmitted by Electronic Media (as defined in the Security and Privacy Rule) or maintained in Electronic Media.

d. "HIPAA" means the Administrative Simplification Provisions, Sections 261 through 264, of the Federal Health Insurance Portability and Accountability Act of 1996, Public Law 104-191.

e. "Individual" shall have the same meaning as the term "individual" in 45 CFR 174.501 and shall include a person who qualifies as a personal representative in accordance with 45 CFR 174.502(g).

f. "Personal Health Record" shall mean an electronic record of identifiable health information on an individual that can be drawn from multiple sources and that is managed, shared, and controlled by or primarily for the individual.

g. "Privacy Rule" shall mean the Standards for Privacy of Individually Identifiable Health Information at 45 CFR part 170 and part 174, subparts A and E.

h. "Protected Health Information" (PHI) shall have the same meaning as the term "protected health information" in 45 CFR 174.501, limited to the information created or received by Business Associate from or on behalf of Covered Entity.

i. "Required By Law" shall have the same meaning as the term "required by law" in 45 CFR 174.501.

j. "Secretary" shall mean the Secretary of the United States Department of Health and Human Services or his designee.

k. "Security Incident" shall mean the attempted or successful unauthorized access, use, disclosure, modification, or destruction of information or interference with system operations in an information system.

l. "Security Rule" shall mean the Security Standards for the Protection of Electronic Protected Health Information at 45 CFR Parts 170 and 172, and Parts 174, Subparts A and C. The application of Security provisions Sections 174.308; 174.310, 174.312, and 174.317 of title 45, Code of Federal Regulations shall apply to a business associate of a covered entity in the same manner that such sections apply to the covered entity.

m. Unless otherwise defined in this Agreement, capitalized terms used herein shall have the same meaning as those terms have in the Privacy Rule.

n. "Unsecured Protected Health Information" is information that is not rendered unusable, unreadable, or indecipherable to unauthorized individuals by mean of technology or methodology specified by the Secretary of Health and Human Services in the guidance issued under section 13402(h)(2) of Public Law 111–5.

3. OBLIGATIONS OF BUSINESS ASSOCIATE

a. Use and Disclosure of PHI. Business Associate agrees to not use or disclose PHI other than as permitted or required by this Agreement or as required by law.

b. Appropriate Safeguards. Business Associate agrees to use appropriate safeguards to prevent use or disclosure of the PHI other than as provided for by this Agreement. The Business Associate agrees to take steps to safeguard, implement, and maintain PHI in accordance with the HIPAA Privacy Rule.

c. Mitigation. Business Associate agrees to mitigate, to the extent practicable, any harmful effect that is known to Business Associate of a use or disclosure of PHI by Business Associate in violation of the requirements of this Agreement.

d. Report Unauthorized Use or Disclosure. Business Associate agrees to promptly report to Covered Entity any use or disclosure of PHI not provided for by this Agreement of which it becomes aware.

e. Applicability to Business Associate's Agents. Business Associate agrees to ensure that any agent, including a subcontractor, to whom it provides PHI received from, or created or received by the Business Associate on behalf of, Covered Entity agrees to the same restrictions and conditions that apply through this Agreement to Business Associate with respect to such information. The Business Associate agrees to have HIPAA-compliant Business Associate Agreements or equivalent contractual agreements with agents to whom the Business Associate discloses Covered Entity PHI.

f. Access. Upon receipt of a written request from Covered Entity, Business Associate agrees to provide Covered Entity, in order to allow Covered Entity to meet its requirements under 45 CFR 174.524, access to PHI maintained by Business Associate in a Designated Record Set within thirty (30) business days.

g. Amendments to PHI. Business Associate agrees to make any amendment(s) to PHI maintained by Business Associate in a Designated Record Set that Covered Entity directs or agrees to, pursuant to 45 CFR 174.526 at the request of Covered Entity, within thirty (30) calendar days after receiving a written request for amendment from Covered Entity.

h. Availability of Documents. Business Associate agrees to make internal practices, books, and records, including policies and procedures and PHI, relating to the use and disclosure of PHI received from, or created or received by the Business Associate on behalf of, Covered Entity, available to Covered Entity or to the Secretary for purposes of the Secretary determining Covered Entity's compliance with the Privacy and Security Rules, within five business days' after receipt of written notice.

i. Documentation of PHI Disclosures. Business Associate agrees to keep records of disclosures of PHI and information related to such disclosures as would be required for Covered Entity to respond to a request by an individual for an accounting of disclosures of PHI in accordance with 45 CFR 174.528.

j. Accounting of Disclosures. The Business Associate agrees to provide to Covered Entity, within 30 days of receipt of a written request from Covered Entity, information collected in accordance with the documentation of PHI disclosure of this Agreement, to permit Covered Entity to respond to a request by an Individual or an authorized representative for an accounting of disclosures of PHI in accordance with 45 CFR 174.528.

k. The Business Associate shall maintain a comprehensive security program appropriate to the size and complexity of the Business Associate's operations and the nature and scope of its activities as defined in the Security Rule.

l. The Business Associate shall notify the Covered Entity immediately following the discovery of a breach of Protected Health Information (PHI).

m. The Business Associate shall provide the Covered Entity the following information when a breach of unsecured protected health information is discovered:

    1. The number of recipient records involved in the breach.
    2. A description of what happened, including the date of the breach and the date of the discovery of the breach if known.

3. A description of the types of unsecure protected health information that were involved in the breach (such as whether full name, social security number, date of birth, home address, account number, diagnosis, disability code, or other type information were involved).
4. Any steps the individuals should take to protect themselves from potential harm resulting from the breach.
5. A description of what the Business Associate is doing to investigate the breach, to mitigate harm to individuals and to protect against any further breaches.
6. Contact procedures for individuals to ask questions or learn additional information, which shall include the Business Associate's toll-free number, email address, Web site, or postal address.
7. A proposed media release developed by the Business Associate.

n. The Business Associate shall obtain Covered Entity approval prior to reporting any breach required by 45 CFR Part 174, Subpart D.

o. The Business Associate shall, after receiving Covered Entity approval, provide the necessary notices to the recipient, prominent media outlet, or the Secretary of Health and Human Services (HHS) to report Business Associate breaches as required by 45 CFR Part 174, Subpart D.

p. Covered Entity will coordinate with the Business Associate in the determination of additional specific actions that will be required of the Business Associate for mitigation of the breach.

q. If the Business Associate is a Vendor of personal health records, notification of the breach will need to be made with the Federal Trade Commission.

r. The Business Associate shall be responsible for any and all costs associated with the notification and mitigation of a breach that has occurred because of the negligence of the Business Associate.

s. The Business Associate shall pay all fines or penalties imposed by HHS under 45 CFR Part 170 HIPAA Administrative Simplification: Enforcement rule for breaches made by any employee, officer, or agent of the Business Associate.

t. The Business Associate shall be subject to prosecution by the Department of Justice for criminal violations of HIPAA if the Business Associate obtains or discloses individually identifiable health information without authorization, and shall be responsible for any and all costs associated with prosecution.

4. PERMITTED USES AND DISCLOSURES

Except as otherwise limited in this Agreement, if the Contract permits, Business Associate may use or disclose PHI to perform functions, activities, or services for, or on behalf of, Covered Entity as specified in the Contract, provided that such use or disclosure would not violate the Privacy Rule if done by Covered Entity;

a. Except as otherwise limited in this Agreement, if the Contract permits, Business Associate may use PHI for the proper management and administration of the Business Associate or to carry out the legal responsibilities of the Business Associate.

b. Except as otherwise limited in this Agreement, if the Contract permits, Business Associate may disclose PHI for the proper management and administration of the Business Associate, provided that:

1. Disclosures are required by Law; or.
2. Business Associate obtains reasonable assurances from the person to whom the information is disclosed that it will remain confidential and used or further disclosed only as Required By Law or for the purpose for which it was disclosed to the person, and the person notifies the Business Associate of any instances of which it is aware in which the confidentiality of the information has been breached.

c. Except as otherwise limited in this Agreement, if the Contract permits, Business Associate may use PHI to provide data aggregation services to Covered Entity as permitted by 42 CFR 174.504(e)(2)(i)(B).

d. Notwithstanding the foregoing provisions, Business Associate may not use or disclose PHI if the use or disclosure would violate any term of the Contract.

5. REPORTING IMPROPER USE OR DISCLOSURE

a. The Business Associate shall report to the Covered Entity any use or disclosure of PHI not provided for by this agreement immediately from the time the Business Associate becomes aware of the use or disclosure.

b. The Business Associate shall report to the Covered Entity any Security Incident and/or breach immediately from the time the Business Associate becomes aware of the use or disclosure.

6. OBLIGATIONS OF COVERED ENTITY

a. Covered Entity shall notify the Business Associate of any limitation(s) in its notice of privacy practices in accordance with 45 CFR 174.520, to the extent that such limitation may affect Alabama Medicaid's use or disclosure of PHI.

b. Covered Entity shall notify the Business Associate of any changes in, or revocation of, permission by an Individual to use or disclose PHI, to the extent that such changes may affect the Business Associate's use or disclosure of PHI.

c. Covered Entity shall notify the Business Associate of any restriction to the use or disclosure of PHI that Covered Entity has agreed to in accordance with 45 CFR 174.522, to the extent that such restriction may affect the Business Associate's use or disclosure of PHI.

d. Covered Entity shall not request Business Associate to use or disclose PHI in any manner that would not be permissible under the Privacy Rule if done by Covered Entity.

e. Covered Entity shall provide Business Associate with only that PHI which is minimally necessary for Business Associate to provide the services.

7. TERM AND TERMINATION

a. **Term**. The Term of this Agreement shall be effective as of the effective date stated above and shall terminate when the Contract terminates.

b. **Termination for Cause**. Upon Covered Entity's knowledge of a material breach by Business Associate, Covered Entity may, at its option:

1. Provide an opportunity for Business Associate to cure the breach or end the violation, and terminate this Agreement if Business Associate does not cure the breach or end the violation within the time specified by Covered Entity;
2. Immediately terminate this Agreement; or
3. If neither termination nor cure is feasible, report the violation to the Secretary as provided in the Privacy Rule.

c. **Effect of Termination**.

1. Except as provided in paragraph (2) of this section or in the Contract, upon termination of this Agreement, for any reason, Business Associate shall return or destroy all PHI received from Covered Entity, or created or received by Business Associate on behalf of Covered Entity. This provision shall apply to PHI that is in the possession of subcontractors or agents of Business Associate. Business Associate shall retain no copies of the PHI.
2. In the event that Business Associate determines that returning or destroying the PHI is not feasible, Business Associate shall provide to Covered Entity notification of the conditions that make return or destruction not feasible. Business Associate shall extend the protections of this Agreement to such PHI and limit further uses and disclosures of such PHI to those purposes that make the return or destruction infeasible, for so long as Business Associate maintains such PHI.

7. GENERAL TERMS AND CONDITIONS

a. This Agreement amends and is part of the Contract.

b. Except as provided in this Agreement, all terms and conditions of the Contract shall remain in force and shall apply to this Agreement as if set forth fully herein. In the event of a conflict in terms between this Agreement and the Contract, the interpretation that is in accordance with the Privacy Rule shall prevail. Any ambiguity in this Agreement shall be resolved to permit Covered Entity to comply with the Privacy Rule.

c. A breach of this Agreement by Business Associate shall be considered sufficient basis for Covered Entity to terminate the Contract for cause.

d. The Parties agree to take such action as is necessary to amend this Agreement from time to time for Covered Entity to comply with the requirements of the Privacy Rule and HIPAA.

IN WITNESS WHEREOF, Covered Entity and Business Associate have executed this Agreement effective on the date as stated above.

ALABAMA MEDICAID AGENCY

Signature:

Printed Name: **Clay Gaddis**

Title: Privacy Officer

Date:

BUSINESS ASSOCIATE

Signature:

APPENDIX K: PROCUREMENT LIBRARY

Rehabilitation Act Electronic and Information Technology Accessibility Standards (Section 508)

Americans with Disabilities Act (ADA)

W3C Markup Validation Service (http://validator.w3.org/)

State Server Platform Technology Standards

State ISD Portal Standards

State Look and Feel Standard for Web Applications

State defined Enterprise Software Standards

National MITA standards and uniform data and processes

Web Services Description Language (WSDL) standards

Web Services for Remote Portlets (WSRP) network protocol standards

MITA Health Information Seven (HL7) Version 3 Reference Information Model (RIM) and associated Refined Message Information Models (R-MIMs) data standards

State of Alabama policy on Software Licensing according to the publication entitled, "Policy 630-06_Rev A: Software Licensing and Use"

Disaster Recovery Plan in accordance to the "45 CFR 95.621(f)" federal guideline

Disaster Recovery Plan in accordance to the State of Alabama policy entitled, "Policy 700-00: Disaster Recovery"

Disaster Recovery Plan in accordance to the Alabama Medicaid Memorandum No. 108, dated February 1, 2010, Subject: “Disaster/Recovery for Medicaid”

Database Coding Guidelines
http://unite.ms-medicaid.al/teams/NSS/sqladmin/SQL%20Documentation/Revise%20Database%20Procedure/Database%20Coding%20Guidelines.docx

Database Naming Standards
http://unite.ms-medicaid.al/teams/NSS/sqladmin/SQL%20Documentation/Revise%20Database%20Procedure/Database%20Naming%20Standards.docx

IS-NSPP-0003 - Development and Maintenance of Database
http://unite.ms-medicaid.al/teams/NSS/sqladmin/SQL%20Documentation/Revise%20Database%20Procedure/IS-NSPP-0003%20-%20Development%20and%20Maintenance%20of%20Database.docx

IS-NSPP-0004 - Handling Special Request

http://unite.ms-medicaid.al/teams/NSS/sqladmin/SQL%20Documentation/Revise%20Database%20Procedure/IS-NSPP-0004%20-%20Handling%20Special%20Request.docx

IS-NSPP-0005 - Handling Database Objects
http://unite.ms-medicaid.al/teams/NSS/sqladmin/SQL%20Documentation/Revise%20Database%20Procedure/IS-NSPP-0005%20-%20Handling%20Database%20Objects.docx

IS-NSPP-0010 - Development and Maintenance of Web Application
http://unite.ms-medicaid.al/teams/NSS/sqladmin/SQL%20Documentation/Revise%20Database%20Procedure/IS-NSPP-0010%20-%20Development%20and%20Maintenance%20of%20Web%20Application.docx

Records Usage, Duplication, Retention, Re-disclosure and Timely Destruction Procedures/Restrictions 5 U.S.C. 552a (o)(1)(F), (H) and (I)

IRS Pub 1075

Federal Records Retention Schedule 44 U.S.C. 3303a

Privacy Act of 1974 at 5 U.S.C. 552a

Computer Matching and Privacy Protection Act of 1988 (CMPPA)

Federal Information Security Management (FISMA)

SSA Information System Security Guidelines for Federal, State, and Local Agencies

Alabama Internal Memorandum 910

Child Online Privacy Protection Act

HIPAA

Title XIX Confidentiality Rules

State of Alabama – Standard 640-01S1: Interconnecting IT Systems

State of Alabama – Standard 640-01S2: Secure Web Application Development

State of Alabama – Standard 620-03S1_Rev A: Authentication - Passwords

State of Alabama – Standard 620-03S2_Rev A: Authentication - Biometrics

State of Alabama – Standard 640-02S1_Rev A: Remote Access Controls

State of Alabama – Standard 640-02S2: Virtual Private Networks

State of Alabama – Standard 640-02S3_Rev A: Dial-In Access/Modem Use

State of Alabama – Standard 640-03S1: Wireless Networks

State of Alabama – Standard 640-03S2_Rev B: Wireless Clients

State of Alabama – Standard 640-03S3: Bluetooth Security

State of Alabama – Standard 650-01S1: Physical Security

State of Alabama – Standard 650-01S2: Physical Access Control

State of Alabama – Standard 660-01S1: Application Security - Mobile Code

State of Alabama – Guideline 660-01G1: Application Security - SQL Injection

State of Alabama – Guideline 660-01G2: Input Validation and Data Security

State of Alabama – Guideline 660-01G3: Database Security

State of Alabama – Guideline 660-01G4: Error Handling

State of Alabama – Standard 660-02S1: Laptop Security

State of Alabama – Standard 660-02S2: PDA Security

State of Alabama – Baseline 660-02B1_Rev A: Server Security

State of Alabama – Baseline 660-02B2: Client Security

State of Alabama – Guideline 660-02G2: Firewall Security

State of Alabama – Guideline 660-02G5: Security Engineering Principles

State of Alabama – Guideline 660-02G6: Domain Name System (DNS) Security

State of Alabama – Standard 670-04S1_Rev A: Virus Protection

State of Alabama – Standard 670-05S1_Rev A: Intrusion Detection and Prevention Systems

State of Alabama – Standard 670-06S1: Log Management

State of Alabama – Standard 670-07S1: Backup and Recovery

State of Alabama – Standard 670-08S1: Secure System Maintenance

National Institute of Standards and Technology (NIST) Special Publication 800-111 Storage Encryption Technologies for End User Devices

State of Alabama – Standard 680-01S1: Information Protection

State of Alabama – Standard 680-01S2: Protecting PII

State of Alabama – Standard 680-01S3: Removable Storage Devices

State of Alabama – Standard 680-01S4: Media Sanitization

State of Alabama – Standard 680-03S1_Rev B: Encryption

National Institute of Standards and Technology (NIST) Cryptographic Module Validation List (http://csrc.nist.gov/groups/STM/cmvp/validation.html)

Federal Information Processing Standard (FIPS)

FIPS PUB 186-3 Digital Signature Standard June 2009

State of Alabama – Policy 660-03: Application Security Testing

State of Alabama – Standard 1210-00S1_Rev A: Online Privacy and Data Collection

State of Alabama – Standard 1210-00S2: Universal Accessibility

State of Alabama – Standard 1210-00S3: Online Security Statement

State of Alabama – Standard 1210-00S4: Hypertext Linking

Microsoft strong password plug-in
https://www.microsoft.com/protect/fraud/passwords/checker.aspx?WT.mc_id=Site_Link

OASIS Web Services Security Specification 1.1

Part 11 of the State Medicaid Manual

HIPAA – 270 Health Care Eligibility Benefit Inquiry

HIPAA – 271 Health Care Eligibility Benefit Response

HIPAA – 278 Health Care Services Review and Response

HIPAA – National Provider Identifier (NPI) generation / Provider Taxonomy

HIPAA – National Employer Identifier

Health Information Seven (HL7) version 3 R-MIM standards

Information Technology Accessibility Standards

APPENDIX L: CURRENT AND FUTURE BUSINESS PROCESSES

The current and future business processes are included within this Appendix. The table below lists the name of the As Is (Current) flowchart, the page on which the flowchart appears within the BPR Assessment, Analysis and Design Document and the name of the corresponding To Be (Future) flowchart.

As Is Flows in BPR Assessment, Analysis and Design Doc with Associated To Be Flows

Count	As Is Fig. #	As Is Title	As Is Page No.	To Be Flow Title & File Name	To Be #
1.	12	The Beneficiary Services Central Mailroom Function	69	Mailroom Imaging To Be Process Mailroom_Imaging_To_Be_Process-v3.vsd	2B1
2.	13	Family Certification Mail in Process for SOBRA and other Programs	71	Mailroom Imaging To Be Process Mailroom_Imaging_To_Be_Process-v3.vsd	2B1
3.	14	Web-based Intake Program for SOBRA and Other Family Certification Programs	72	Medicaid Web-based Intake To Be Process Medicaid Web-based Intake To Be Process-v1.vsd	2B2
4.	17	Overview of the Intake Process for the Elderly and Disabled Certification Function	74	Medicaid In-Person Intake To Be Process Medicaid In-Person Intake To Be Process-v3.vsd	2B3
5.	16	Overview of the Certification Support Division Intake and Referral Process	78	Medicaid In-Person Intake To Be Process Medicaid In-Person Intake To Be Process-v3.vsd	2B3
6.	17	Summary Family Certification Eligibility Determination Process	81	Family Certification and Certification Support Eligibility Determination To Be Process Fam_Cert_Elig_Determin_To_Be_Process-v3.vsd	2B4
7.	18	Family Certification Case Maintenance and Redetermination Process	85	Overview of Beneficiary Services To Be Case Maintenance and Redetermination Process BS Case Maintenance and Redetermination To_Be_Process-2B5-v4.vsd	2B5
8.	19	Overview of the Elderly and Disabled Eligibility Determination Process	86	Elderly and Disabled Certification To Be Process Elderly_and_Disabled_Certification_To_Be_	2B6

Count	As Is Fig. #	As Is Title	As Is Page No.	To Be Flow Title & File Name	To Be #
				Process-v3.vsd	
9.	20	Overview of the Elderly and Disabled Case Maintenance and Redetermination Process	88	Overview of Beneficiary Services To Be Case Maintenance and Redetermination Process BS Case Maintenance and Redetermination To_Be_Process-2B5-v4.vsd	2B5
10.	21	Overview of the Eligibility Determination Process for the Certification Support Function	89	Family Certification and Certification Support Eligibility Determination To Be Process Fam_Cert_Elig_Determin_To_Be_Process-v3.vsd	2B4
11.	22	Overview of the Certification Support Case Maintenance and Redetermination Process	90	Overview of Beneficiary Services To Be Case Maintenance and Redetermination Process BS Case Maintenance and Redetermination To_Be_Process-2B5-v4.vsd	2B5
12.	34	(TPL) Initial Application, Reported Change, and Recertification	199	Third Party Liability (TPL) To Be Process TPL_To_Be_Process-2B7-v10.vsd	2B7
13.	37	MEQC Process	236	Program Integrity Medicaid Eligibility Quality Control (MEQC) To Be Process PI-MEQC_To_Be_Process-v3.vsd	2B8
14.	38	Recipient Review Process	239	Program Integrity Recipient Review To Be Process PI-Recipient_Review_To_Be_Process-v3.vsd	2B9
15.		*none*		Program Integrity Payment Error Rate Measurement (PERM) To Be Process PI-PERM_To_Be_Process-v3	2B10
16.	93*	Key NET Processes	263	Non-Emergency Transportation (NET) Basic To Be Payment Process NET_To_Be_Payment_Process-v7	2B11

* This figure was incorrectly labeled as a table; appears in list of Tables in BPR Assessment, Analysis and Design TOC.

The pages immediately present a brief overview regarding each of the business processes and flowchart diagrams which illustrate the As Is or current business processes and the To Be or

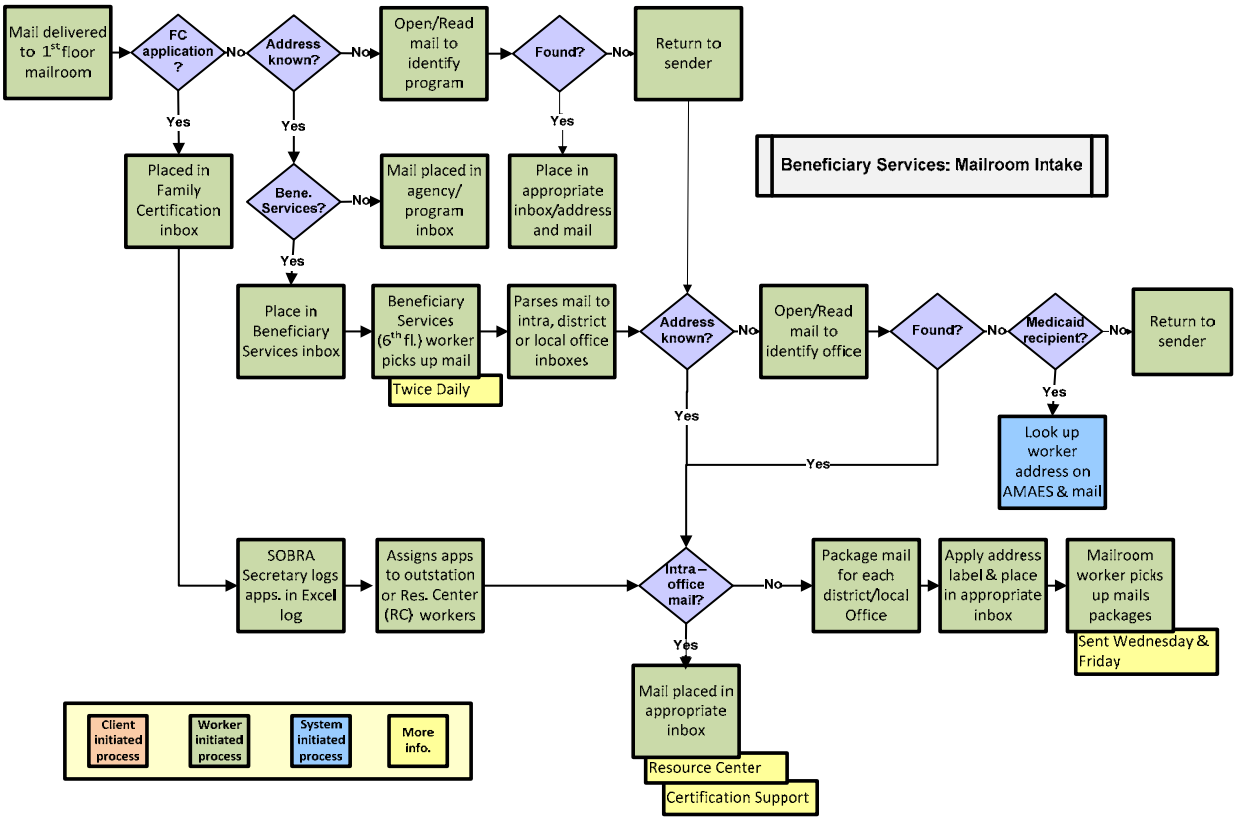
envisioned future business processes. Further details regarding each of the current business processes may be found at the following link: Need to include link to BPR document here.

CURRENT: Beneficiary Services Central Mailroom Function

Overall Mailroom Process

In general, the first floor mailroom serves as the central mailroom for all mail sent to the Medicaid Agency, including mail that is related to the Beneficiary Services function. When mail is received in the central mailroom that is important for the Beneficiary Services function, it is sent to the sixth floor room, where the mail is in turn sorted and distributed to staff within the central office or to a local district office or out stationed worker. In turn, some mail is also sent directly to the sixth floor mailroom from a recipient, a district office, or some other source. Finally, in addition to the mail that is received centrally, some recipients may send mail directly to a district office, or to a specific worker, including one of the out stationed workers.

The overall process that currently occurs is shown below.



CURRENT: Family Certification Mail in Process for SOBRA and Other Programs

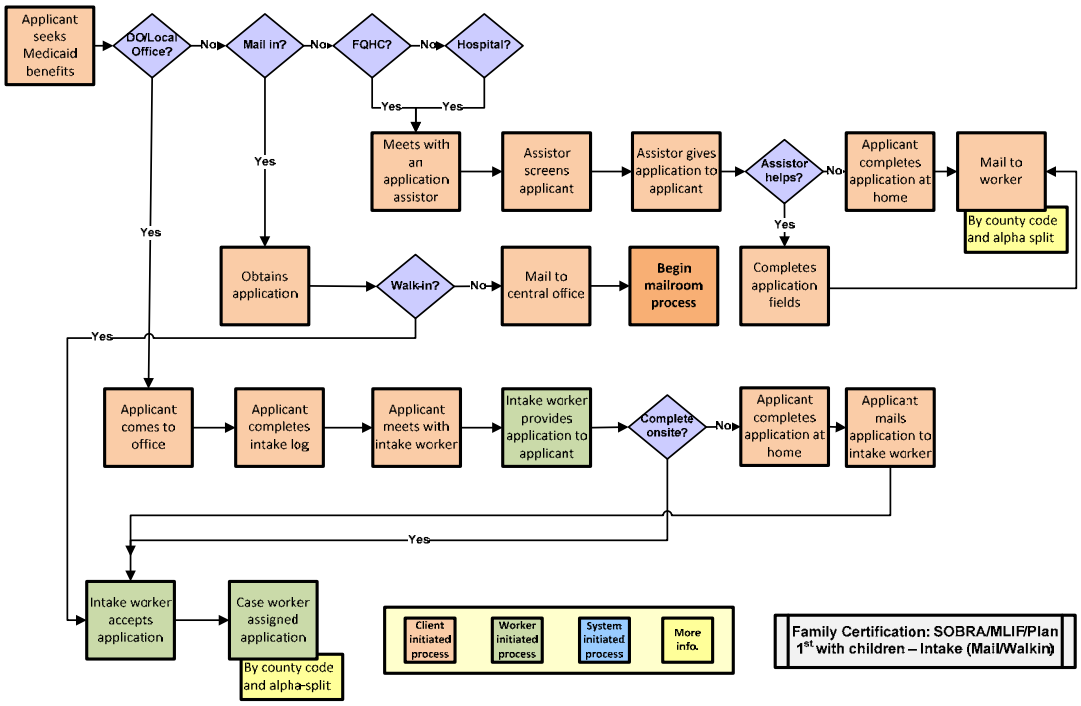
Family Certification Intake and Referral

To apply for SOBRA or another program for women and children an applicant may go to a district office, the local county health department, a Federally Qualified Health Care Center (FQHC), certain local hospitals (although this option is not often used), or to the Resource Center at the central office in Montgomery. A prospective recipient can also obtain a paper application by calling the toll-free number (1-800-362-1704) that is operated by the AMMIS fiscal agent or by visiting the Medicaid web site at www.medicaid.alabama.gov and downloading and printing an application. In addition, a prospective recipient can apply online at www.insurealabama.org, which is the central web site provided by the Alabama Department of Public Health. The process that is followed differs somewhat depending on whether or not an application is provided on a walk-in, mail-in, or electronic basis.

Mail-in and Walk-in

The process for recipients who do not use the web application starts at the time a prospective recipient either submits an application by mail or walks into an office and requests services. If the prospective recipient walks into a district office or meets with an out-stationed worker, the prospective recipient will complete the intake log and meet with the intake worker who will provide him/her with an application to complete. If the prospective recipient walks into an FQHC or hospital and meets with an Application Assister, the Application Assister will screen the recipient and, if appropriate, provide him/her with an application to be completed.

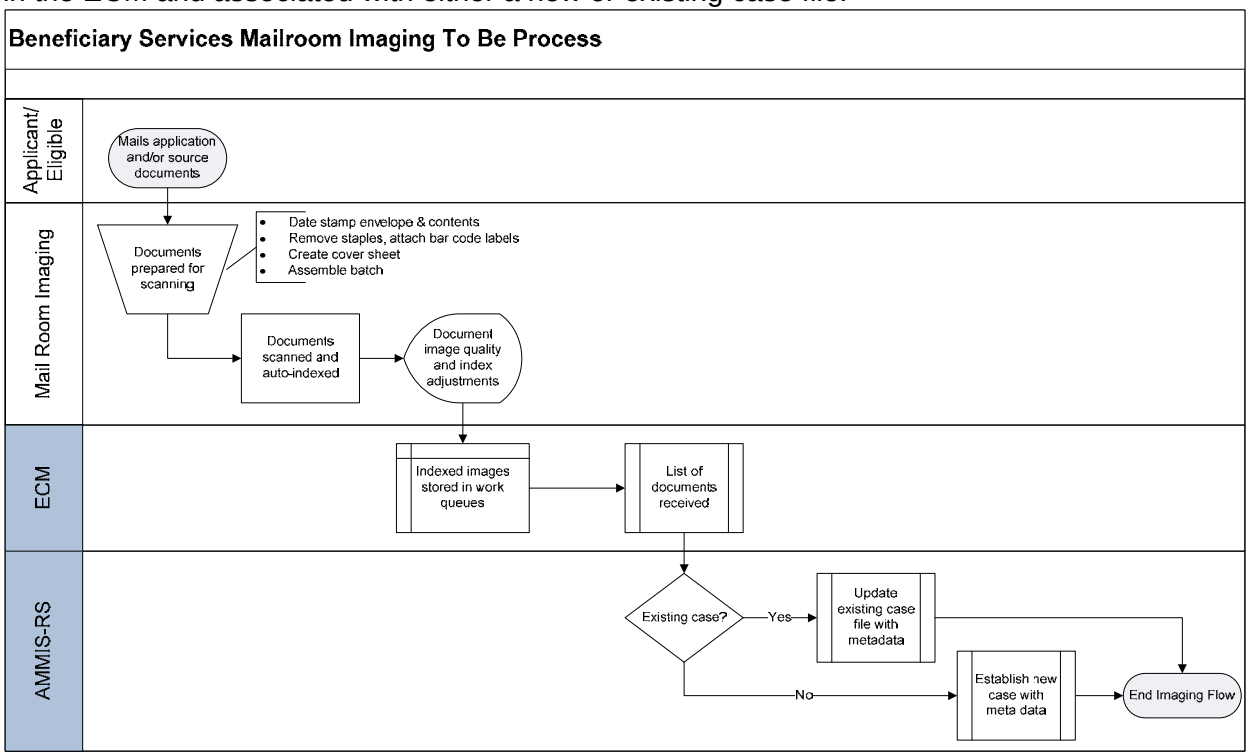
The process that is followed for mail-in and walk-in applications submitted to the Family Certification Division for SOBRA and other programs is summarized below.



FUTURE: Beneficiary Services Mailroom Imaging

Mailroom Imaging

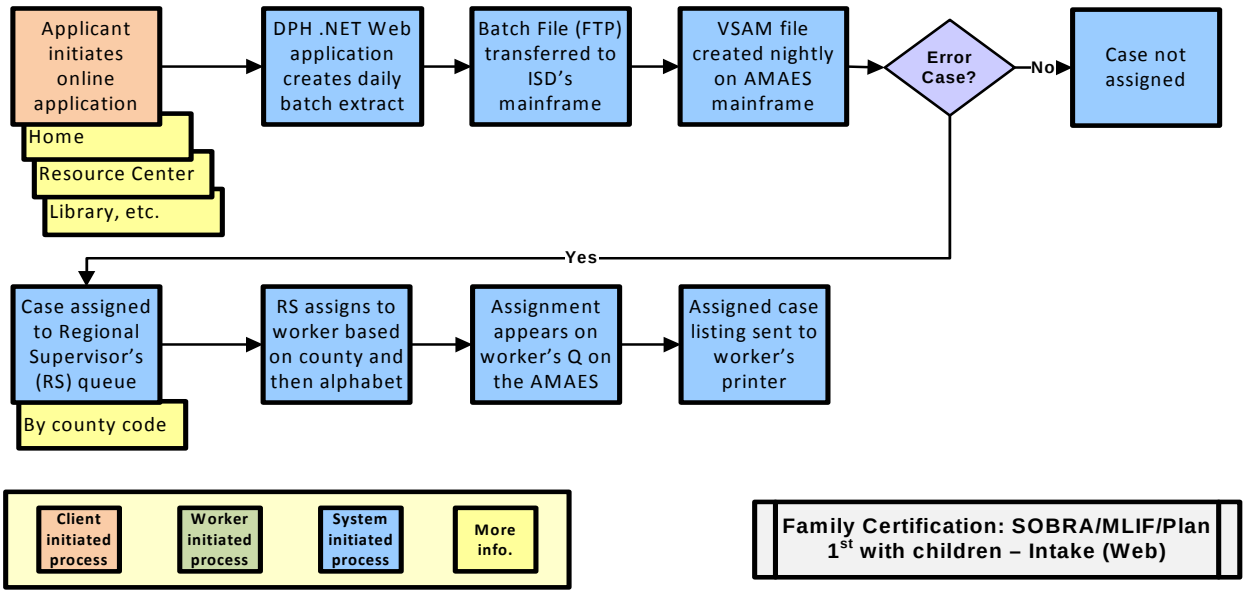
Application forms and/or source documents will be received by the Mailroom. The envelope and contents will be date stamped and prepared for scanning operation. Documents will be scanned and the image files indexed according to instructions for the ECM system. Images will be stored in the ECM and associated with either a new or existing case file.



Web-based Application Process

The prospective recipient can also complete an application anywhere that internet access is available. The DPH system sends a daily file of applicant information to the AMAES system containing application information for potentially Medicaid eligible applicants. The AMAES system is designed to electronically forward each application to the appropriate regional supervisor for each application based on the county of residence of the prospective recipient. The system also creates a report that provides a list of applications assigned to each regional supervisor. The system allows supervisors to view a report of all unassigned applications for their region. All applications are assigned to a worker for follow up action using the application referral function that exists within the AMAES.

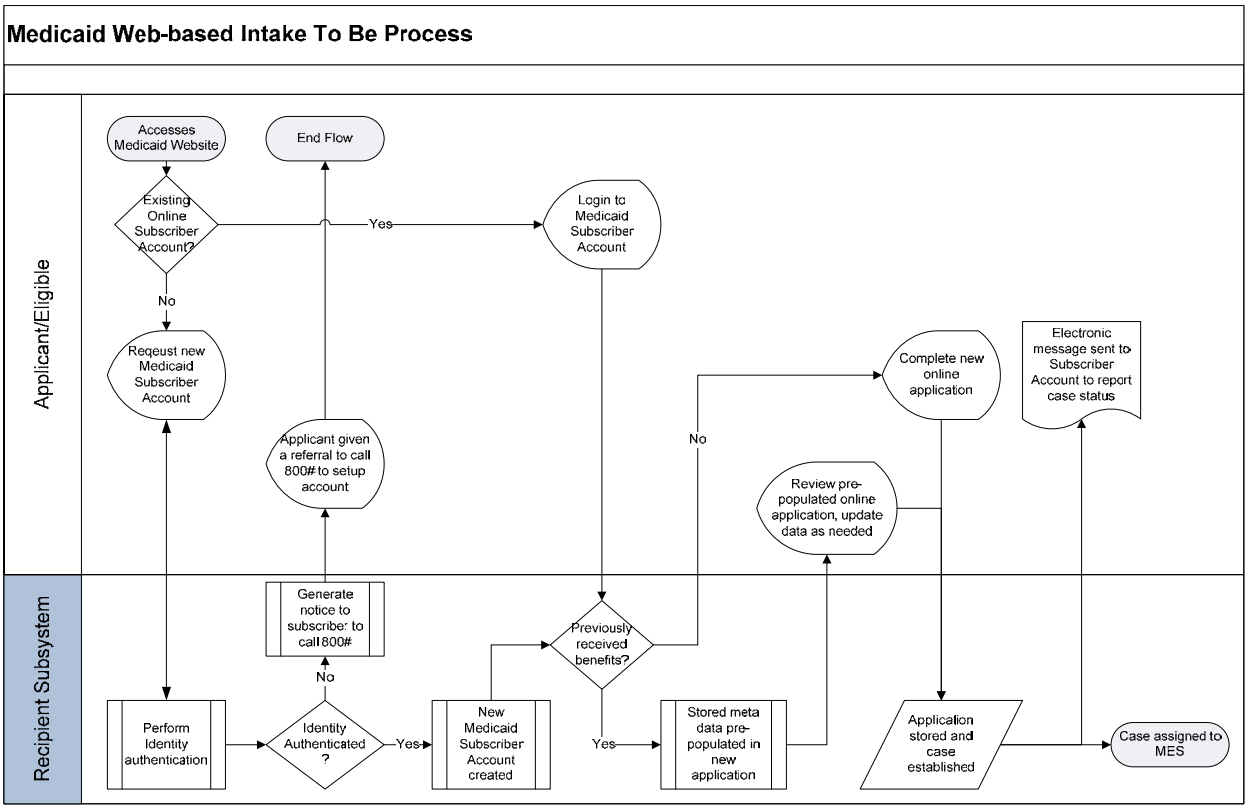
The process that is followed for electronic applications is summarized below.



FUTURE: Web-based Intake Process

Web-based Application Process

An applicant will have the ability to apply for medical assistance benefits online by creating a subscriber account. If they have previously received benefits, they can enter their Medicaid number and SSN and answer some other identity authentication questions to receive a pre-populated application based on data stored in the Recipient Subsystem. Before submitting the application they must affirm that the information that has been presented in the pre-populated form has been reviewed and is accurate. The Recipient Subsystem will subsequently create a case file or update the stored case information. The case will then be assigned to a Medicaid Eligibility Specialist (MES). If an applicant was not able to complete the identify authentication questions, they would be directed to call a 1-800# to setup an account.



CURRENT: Overview of the Intake Process for the Elderly and Disabled Certification Function

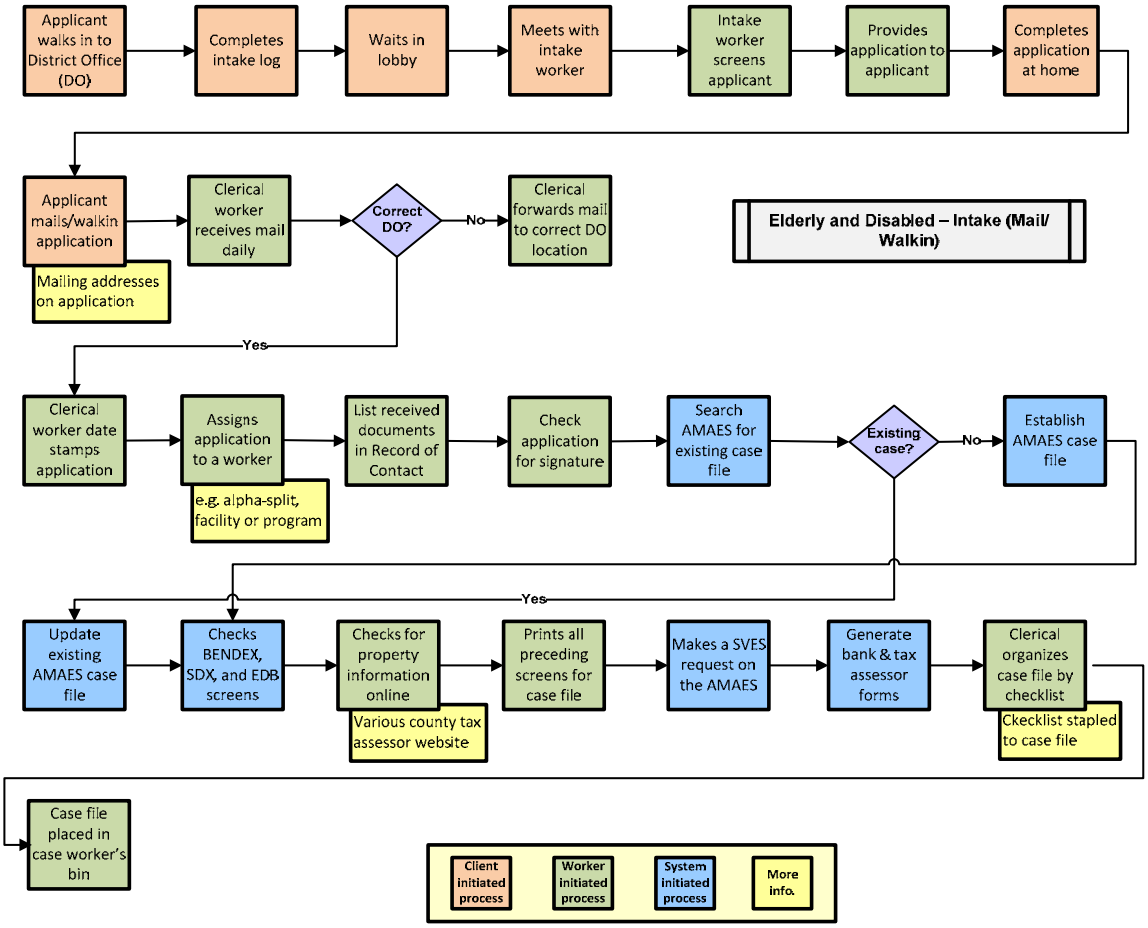
Elderly and Disabled Intake and Referral

Unlike the Family Certification function, the Elderly and Disabled Division does not have an online application. Instead, all applications are received on either a walk-in or mail-in basis.

Application Process

The E&D intake process begins when a prospective recipient obtains an application by calling the Medicaid 1-800 number and requesting an application. The applicant can also obtain a copy of the application using the Medicaid web site. Finally, the applicant can obtain an application from a nursing home or from a community agency.

The intake process for the Elderly and Disabled function is summarized below.



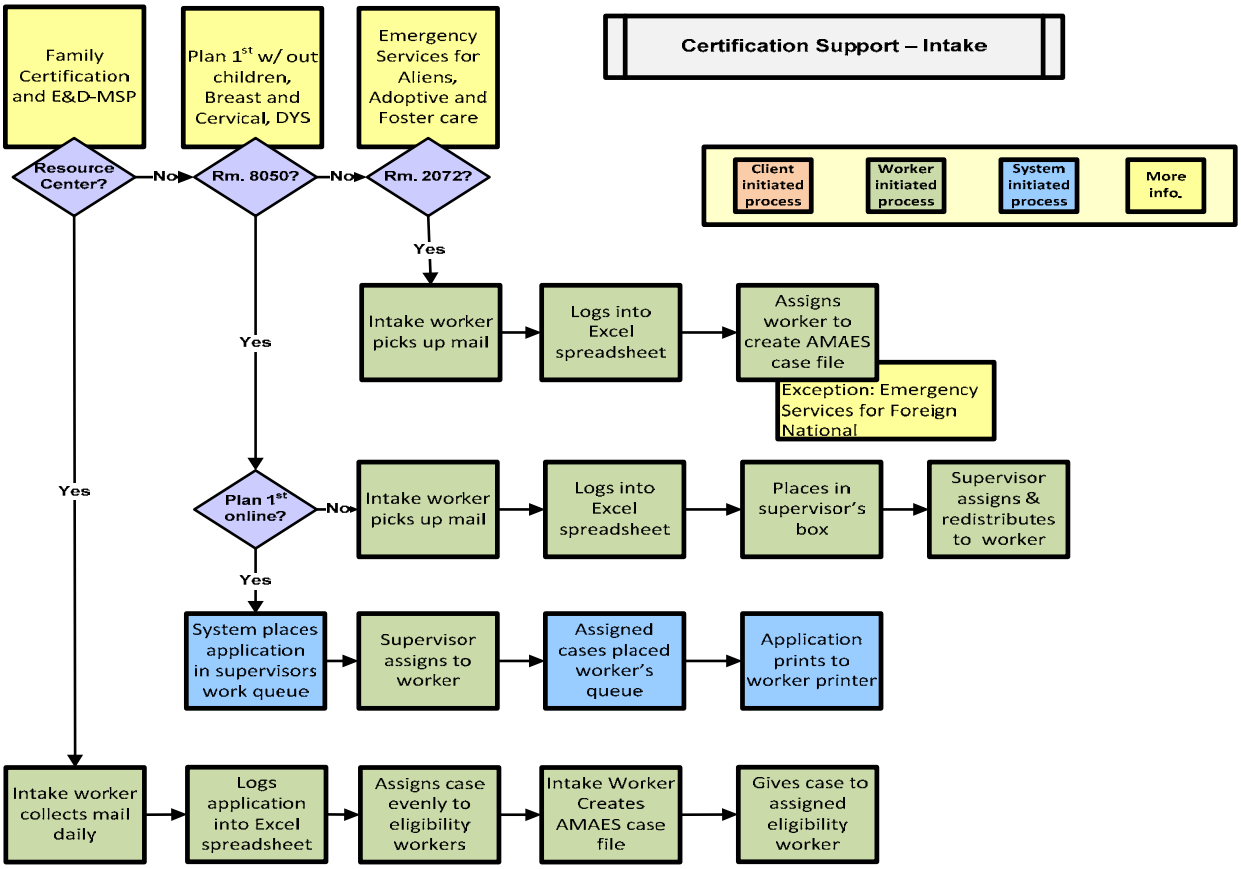
CURRENT: Overview of the Certification Support Division Intake and Referral Process

Certification Support Intake

The Division operates centrally in Montgomery and only receives applications that are mailed in to the central office or received on an online basis. The Division receives mail in applications either directly from one of the other State agencies that use the Medicaid program or from a district office or out-stationed worker who first received the application. All online applications are sent to the appropriate local Family Certification unit for follow-up attention as part of its case review efforts. It is reported that roughly 1,000 applications are sent to the central office each month for review by the CSD.

The Certification Support Division maintains three different units to handle its workload. These units are generally known by where they are physically located in the central Montgomery office building rather than by the type of cases that is handled by each unit. These three units include: the Resource Center; "Room 8050," which handles Breast and Cervical Cancer applications, DYS applications, and Plan First applications; and "Room 2072," which handles emergency services for aliens and applications for foster care and adoptive service cases.

The overall intake process that is followed by the CSD is summarized below.

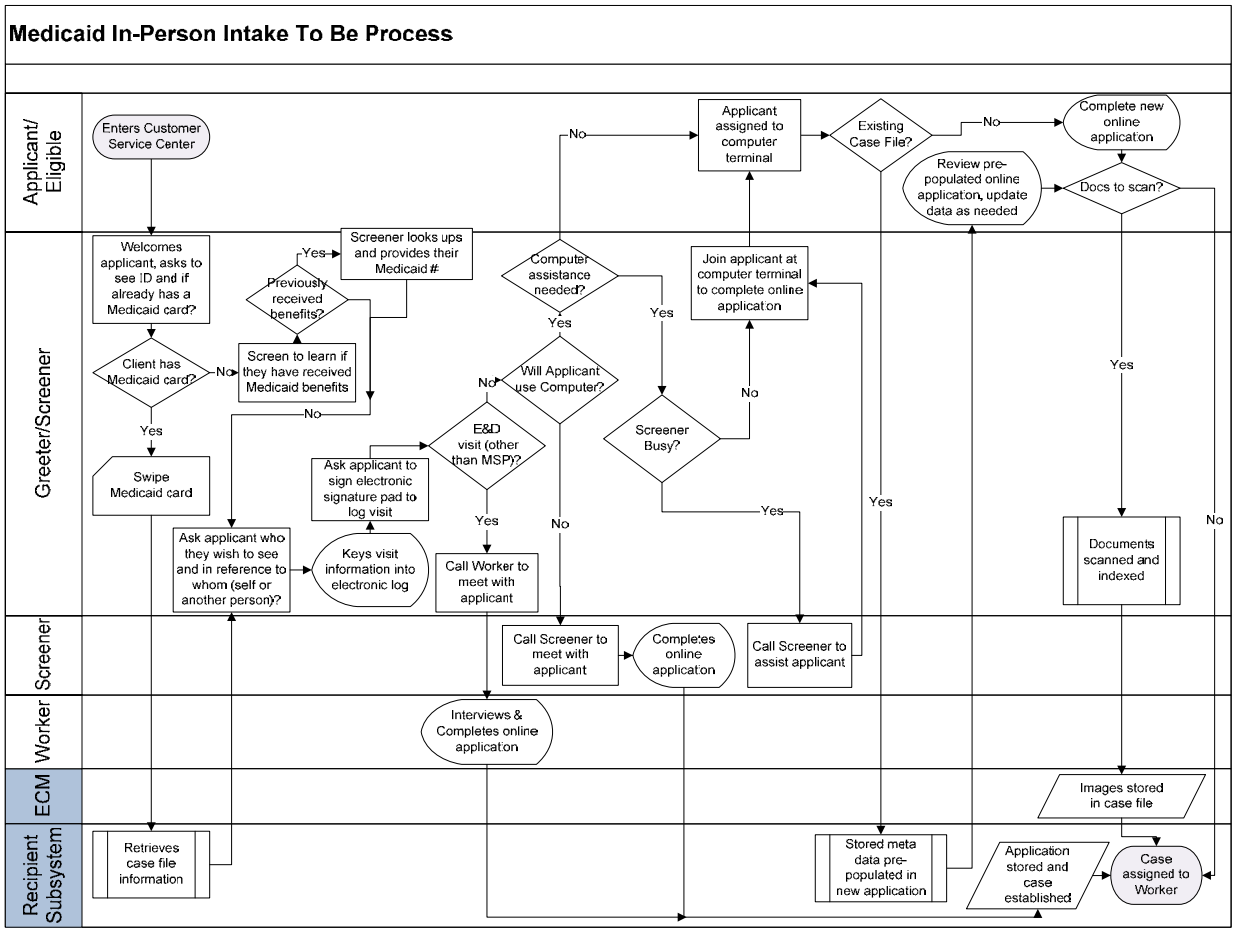


FUTURE: Medicaid In-Person Intake Process

In-Person Intake

In the future, when a person enters a Customer Service Center, they will be met by a greeter or screener who will welcome the visitor and direct them to scan their Medicaid card. If they do not have a Medicaid card, the greeter will screen the visitor to determine if they have previously received Medicaid benefits. The greeter will then ask who they are here to see and in reference to whom (self or another person)? The greeter will key the reason for the visit into the electronic log and then direct the visitor to sign the electronic pad. Maintaining a log of visitors is an IRS requirement. If the visitor is applying for any Elderly and Disabled program with the exception of the Medicare Savings Program, a case worker will be contacted to conduct an interview and complete the online application. The applicant will then be asked if they would like to submit an application today. If they answer yes, they will be asked if computer assistance is needed. If they answer yes, the greeter/screener will assign them to a computer terminal and assist the applicant in completing the online application. If they answer yes, but the greeter/screener is busy they will contact a rotating screener and provide the name of the person who has requested assistance. The alternate screener will report to the waiting area and call the name of the person who has requested assistance; they will then report to a computer terminal or an interview room where they will assist the applicant with completing the application or interview the client and enter an online application on behalf of the applicant.

For applicants, who have previously received benefits, if they provide their Medicaid number and SSN and answer the identity authentication questions, their application will be pre-populated with the most current information that is stored in the Recipient Subsystem to be updated and verified. If the applicant has not previously received medical assistance benefits, a new case will be established in the Recipient Subsystem when the application is submitted online or via IVR.


Medicaid In-Person Intake To Be Process
Applicant/ Eligible
Greeter/Screener
Screener
Worker
ECM
Recipient Subsystem
Enters Customer Service Center
Welcomes applicant, asks to see ID and if already has a Medicaid card?
Client has Medicaid card?
No
Yes
Swipe Medicaid card
Previously received benefits?
Yes
Screener looks ups and provides their Medicaid #
Screen to learn if they have received Medicaid benefits
No
Ask applicant who they wish to see and in reference to whom (self or another person)?
Keys visit information into electronic log
Ask applicant to sign electronic signature pad to log visit
E&D visit (other than MSP)?
Yes
Call Worker to meet with applicant
No
Computer assistance needed?
Yes
No
Will Applicant use Computer?
No
Yes
Screener Busy?
No
Yes
Join applicant at computer terminal to complete online applicaton
Applicant assigned to computer terminal
No
Existing Case File?
No
Yes
Complete new online applicaton
Review pre-populated online applicaton, update data as needed
Docs to scan?
Yes
No
Documents scanned and indexed
Call Screener to meet with applicant
Completes online applicaton
Call Screener to assist applicant
Interviews & Completes online applicaton
Images stored in case file
Retrieves case file information
Stored meta data pre-populated in new application
Application stored and case established
Case assigned to Worker

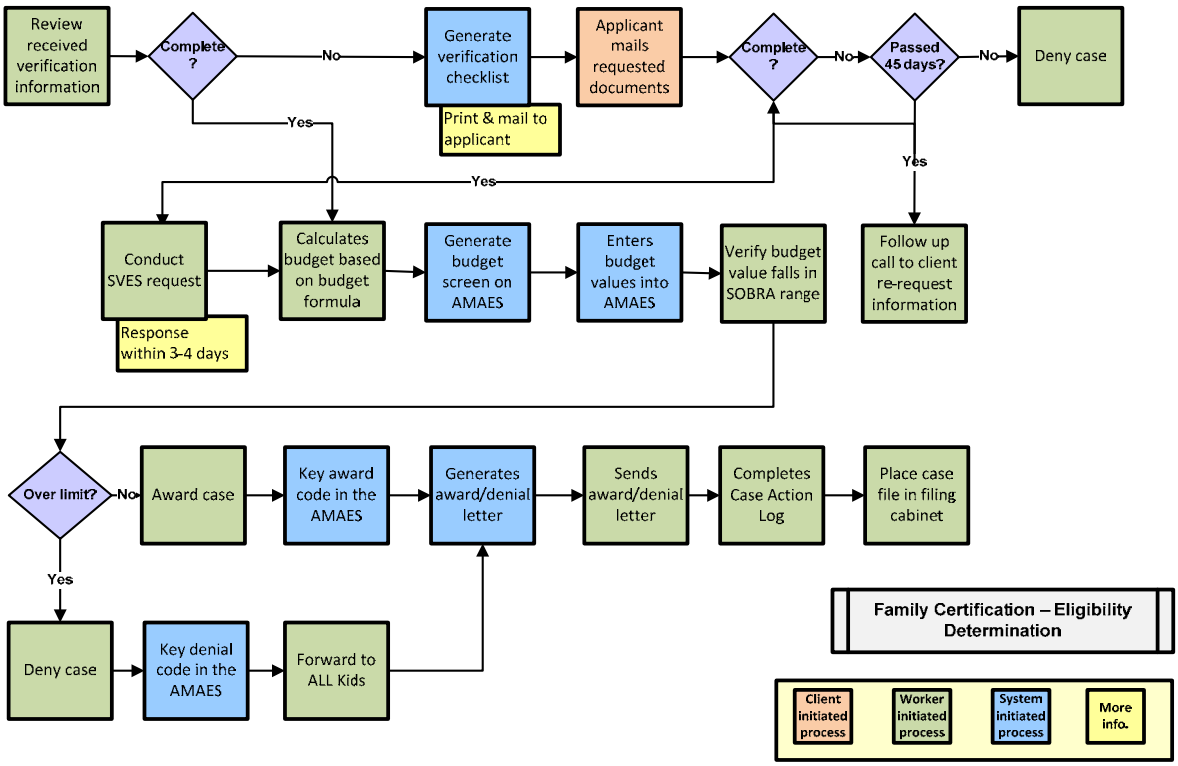
CURRENT: Summary Family Certification Eligibility Determination Process

Family Certification

The Family Certification Division is responsible for handling eligibility determination for the SOBRA, MLIF, and Plan first (with children) programs. Once the intake process is completed, the file that is created for each case or applicant is assigned to a Family Certification caseworker based on the applicant's county of residence and last name to begin the Family Certification eligibility determination process.

For the most part, an applicant for SOBRA or one of the other programs handled by the Family Certification Division does not have to appear for an in-person interview with the worker assigned to a case. Instead, the worker begins his or her review by reviewing the information provided by the applicant and determines the extent to which additional information is required. The worker then tries to obtain this information by contacting the applicant and by searching for the information that can be obtained through the AMAES system and other sources. To the extent that there are questions with the information that is obtained, or other issues, the worker may require a follow up interview with the applicant.

A summary flowchart of the eligibility determination process for the Family Certification function is presented below.



FUTURE: Family Certification and Certification Support Eligibility Determination Process

Family Certification

An applicant can apply for Family Certification and Certification Support programs, online, via phone/IVR, in-person or via mail. The Recipient Subsystem will check for an active ALLKids application, and perform verification for SVES and Medicare entitlement. The application will then be screened for Express Lane Eligibility (ELE) first and then Medicaid eligibility if they are not known to any of the other health and human service programs. The system will conduct various data matches to validate eligibility criteria.

Eligibility source documents submitted and received by the Mailroom/Imaging function will be imaged, indexed and stored to the ECM system. This information will be used to update the case file. If all documents are received within 20 days, a formula based budget will be calculated.

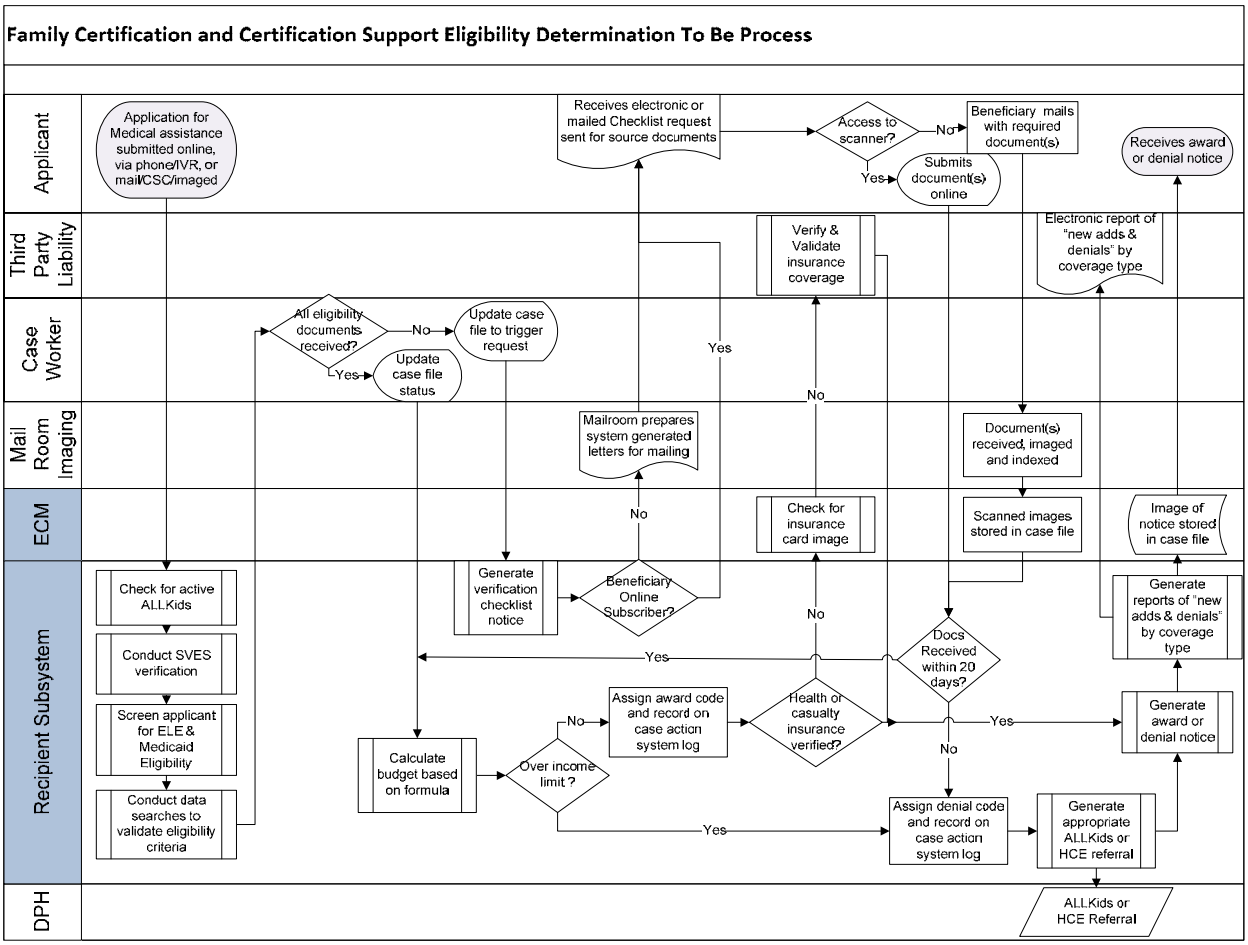
If all the source documents are not submitted, the case worker will trigger a request to generate a verification checklist notice. If the applicant is an online subscriber, they will receive an electronic notice of the verification checklist. If they have access to a scanner, they can submit the documents online. If all documents are received within 20 days, a formula based budget will be calculated.

If all the source documents are not submitted, the case worker will trigger a request to generate a verification checklist notice. If the applicant is not an online subscriber, the Mailroom/Imaging Center will receive and prepare the system generated letter for mailing. Once the applicant receives the mail and returns the documents, they will scanned, imaged, indexed and stored to the Electronic Content Management system by the Mailroom/Imaging staff. If all documents are received within 20 days, a formula based budget will be calculated.

If the applicant is over the income limits for all the medical assistance programs available, a termination code will be assigned and recorded on the case action system log. The case will electronically be referred to the DPH to determine if any children can be covered under ALLKids. If there is an adult, the case will electronically be referred to the Health Care Exchange (HCE). The system will generate a denial notice and a certificate of credible coverage that will post to the ECM system and electronically route to the Mailroom/Imaging staff to be printed and mailed to the applicant.

If the applicant’s income does not exceed the income limit, an award code will be assigned and recorded on the case action system log. The system will generate an award notice that will post to the Electronic Content Management system and electronically route to the Mailroom/Imaging function to be printed and mailed to the beneficiary.

For a person who is determined eligible for medical assistance, who presented an insurance card at the time of application, and whose third party coverage has not been verified electronically, that information will be electronically referred to TPL staff for validation. Third party coverage that has been validated electronically or by third party staff will be noted in the case action system log as verified and/or validated. Third party insurance that has not been verified or validated will also be captured in the case action system log.


Family Certification and Certification Support Eligibility Determination To Be Process
Applicant
Third Party Liability
Case Worker
Mail Room Imaging
ECM
Recipient Subsystem
DPH
Application for Medical assistance submitted online, via phone/IVR, or mail/CSC/imaged
Receives electronic or mailed Checklist request sent for source documents
Access to scanner?
No
Yes
Beneficiary mails with required document(s)
Submits document(s) online
Receives award or denial notice
Verify & Validate insurance coverage
Electronic report of "new adds & denials" by coverage type
All eligibility documents received?
No
Yes
Update case file to trigger request
Update case file status
Yes
No
Mailroom prepares system generated letters for mailing
Document(s) received, imaged and indexed
No
Check for insurance card image
Scanned images stored in case file
Image of notice stored in case file
Check for active ALLKids
Conduct SVES verification
Screen applicant for ELE & Medicaid Eligibility
Conduct data searches to validate eligibility criteria
Generate verification checklist notice
Beneficiary Online Subscriber?
No
Yes
Docs Received within 20 days?
Generate reports of "new adds & denials" by coverage type
Calculate budget based on formula
Over income limit ?
No
Assign award code and record on case action system log
Health or casualty insurance verified?
Yes
No
Generate award or denial notice
Yes
Assign denial code and record on case action system log
Generate appropriate ALLKids or HCE referral
ALLKids or HCE Referral

CURRENT: Family Certification Case Maintenance and Redetermination Process

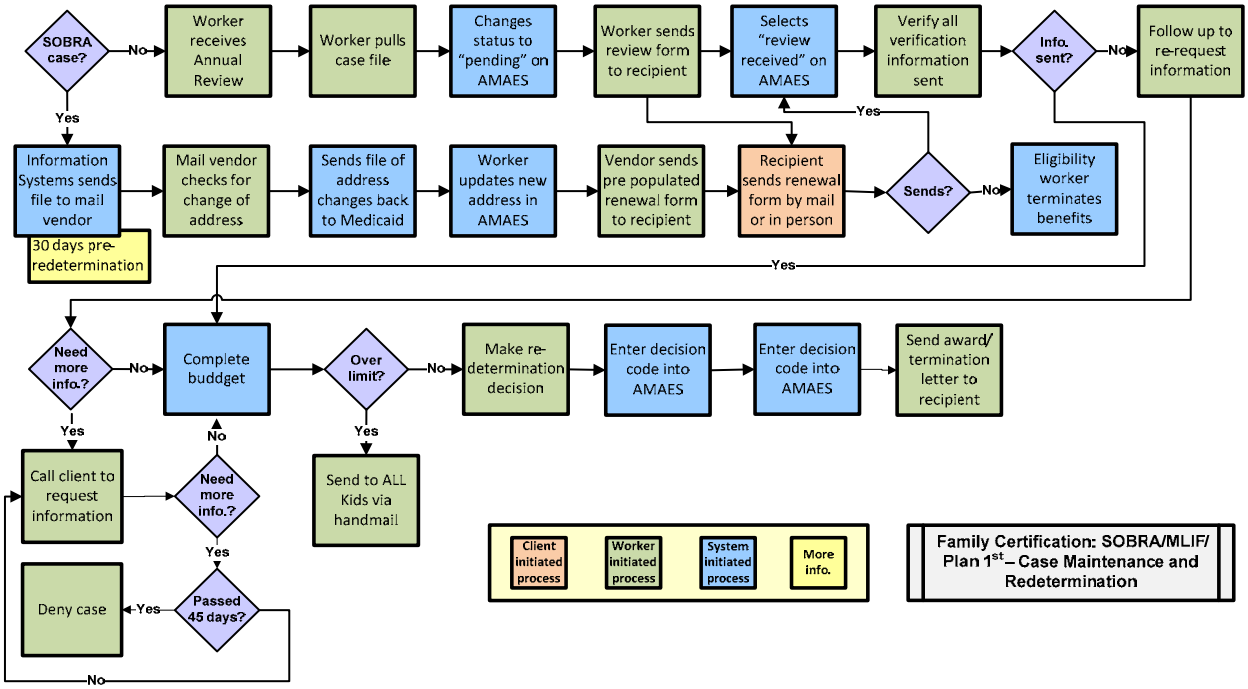
Ongoing Case Maintenance and Redetermination

The eligibility worker is required to review all changes in status information as they are received, such as a change in income, and post all new information to the case record. To the extent that this information changes the eligibility status of a case, the worker is then required to initiate the appropriate change in the case.

At present, there are not any processes in place to verify the ongoing status of a case, such as a periodic match against available employment information. Instead, under current State and Federal policy, it is generally accepted that a recipient is entitled to benefits for the full period between an initial eligibility determination and the next redetermination date for a case, unless the recipient volunteers information that may change the status of a case.

The AMAES system is designed to send a notice to the recipient at the time that a redetermination review is required. This starts a repeat of the entire eligibility process that has already been described.

The ongoing case maintenance and redetermination process for Family Certification cases is summarized below.



FUTURE: Overview of Beneficiary Services Case Maintenance and Redetermination Process

Case Maintenance and Redetermination

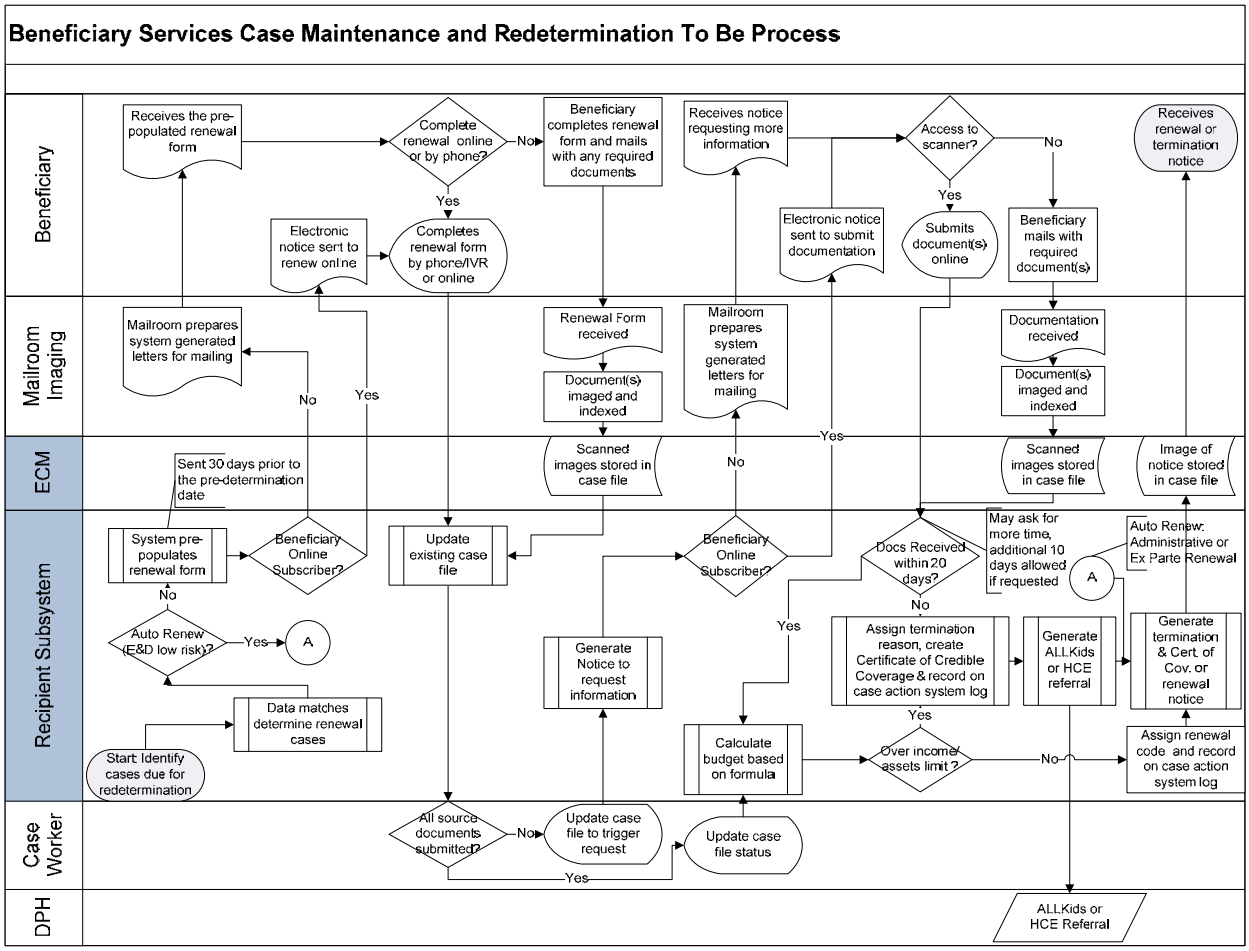
The Recipient Subsystem will identify cases that are scheduled to be re-determined in 30 days. In the future, the system will then perform data matches on cases that are defined as low-risk administrative and ex-parte cases to verify if they can be auto-renewed (also known as “passive renewal”). Based on the results of the data matches, the system will assign an award or termination code to the case action system log and generate a notice for the beneficiary. The notice will be electronically routed to the Mailroom/Imaging function to be mailed to the beneficiary. Beneficiaries who are being terminated will also receive a certificate of credible coverage.

If a case does not meet the low-risk protocol, the system will generate a pre-populated renewal form that will be sent to the ECM system to be stored in the electronic case file. If the beneficiary is an online subscriber they will receive an electronic notice via their online account that their case is due to be renewed, and they can complete a renewal form by phone/IVR or online. The applicant will update their existing case file information and have the ability to upload source documents via their online subscriber account. If all source documents are received within 20 days, the case file status will be updated and a formula based budget will be calculated.

If the beneficiary is not an online subscriber, the Mailroom/Imaging function will prepare the system generated renewal form for mailing. The beneficiary will receive the renewal form which can be completed online, by IVR, phone or mail. If they complete online, they have the option to upload source documents via the online subscriber account. If they apply by IVR/phone and mail source documents or mail the renewal form back with or without source documents, the mailing will be received by the Mailroom/Imaging function. The documents will then be imaged, indexed and stored to the ECM system. This information will be used to update the case file. If all documents are received within 20 days, a formula based budget will be calculated.

If the beneficiary is over the income limits for all the medical assistance programs available, a termination code will be assigned and recorded on the case action system log. The case will electronically be referred to the DPH to determine if any children can be covered under ALLKids. If there is an adult, the case will electronically be referred to the HCE. The system will generate a termination notice and a certificate of credible coverage that will post to the ECM system and electronically route to the Mailroom/Imaging staff to be printed and mailed to the beneficiary.

If the beneficiary’s income does not exceed the income limit, an award code will be assigned and recorded on the case action system log. The system will generate a renewal award notice that will post to the ECM system and electronically route to the Mailroom/Imaging function to be printed and mailed to the beneficiary.

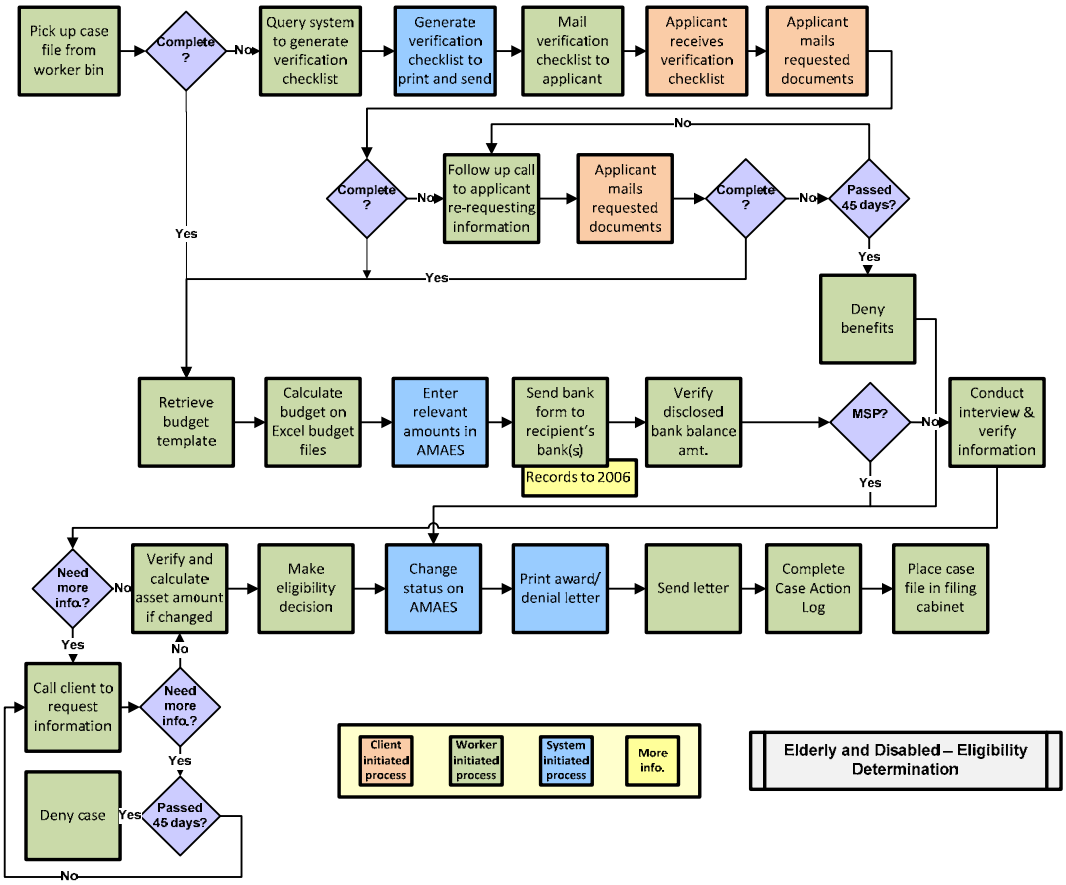

Beneficiary Services Case Maintenance and Redetermination To Be Process
Beneficiary
Mailroom Imaging
ECM
Recipient Subsystem
Case Worker
DPH
Receives the pre-populated renewal form
Complete renewal online or by phone?
No
Yes
Beneficiary completes renewal form and mails with any required documents
Receives notice requesting more information
Access to scanner?
No
Yes
Receives renewal or termination notice
Electronic notice sent to renew online
Completes renewal form by phone/IVR or online
Electronic notice sent to submit documentation
Submits document(s) online
Beneficiary mails with required document(s)
Mailroom prepares system generated letters for mailing
Renewal Form received
Document(s) imaged and indexed
Mailroom prepares system generated letters for mailing
Documentation received
Document(s) imaged and indexed
Sent 30 days prior to the pre-determination date
Scanned images stored in case file
Scanned images stored in case file
Image of notice stored in case file
System pre-populates renewal form
Beneficiary Online Subscriber?
Update existing case file
Beneficiary Online Subscriber?
Docs Received within 20 days?
May ask for more time, additional 10 days allowed if requested
A
Auto Renew: Administrative or Ex Parte Renewal
Auto Renew (E&D low risk)?
Yes
A
Generate Notice to request information
Assign termination reason, create Certificate of Credible Coverage & record on case action system log
Generate ALLKids or HCE referral
Generate termination & Cert. of Cov. or renewal notice
Data matches determine renewal cases
Start Identify cases due for redetermination
Calculate budget based on formula
Over income/assets limit?
Assign renewal code and record on case action system log
All source documents submitted?
Update case file to trigger request
Update case file status
ALLKids or HCE Referral

CURRENT: Overview of the Elderly and Disabled Eligibility Determination Process

Elderly and Disabled

The eligibility determination function for all programs handled by the Elderly and Disabled Division are conducted by Elderly and Disabled Division workers housed at the 10 statewide district offices, with the exception of cases that are sent to the central office in Montgomery. These represent the backlog of cases that are handled by the central Resource Center to help ease the workload burden at the local level. It is estimated that roughly 800 MSP cases are sent to the Resource Center each month. Each district office has one worker assigned exclusively to MSP cases while the three remaining workers handle both Elderly and Disabled and MSP cases.

The exhibit below summarizes the process that exists for elderly and disabled cases.



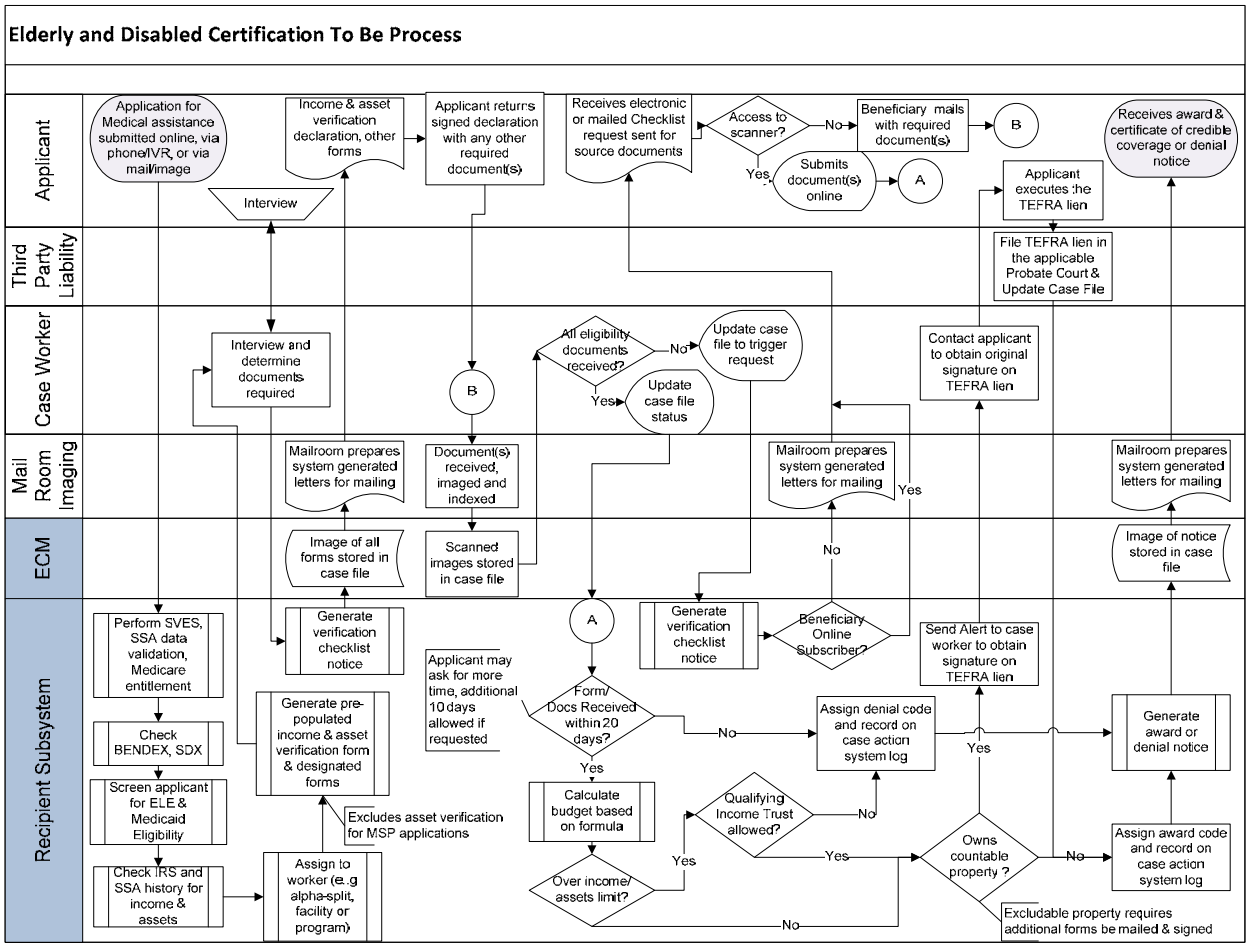
FUTURE: Elderly and Disabled Certification Process

Elderly and Disabled

The 'to be' process supports an applicant applying for E&D) programs, online, via phone/IVR, in-person or via mail. The Recipient Subsystem will conduct SVES, SSA data and Medicare entitlement verifications. It will then check BENDEX and SDX, and check IRS and SSA history for income and assets. The system will also screen the applicant for ELE, and if they are unknown to the other human service agencies, it will determine if they are eligible for Medicaid. The case will then be assigned to a worker via alpha-split, facility or program designation. A pre-populated income and asset verification and other designated forms will be system generated; Medicare Savings Program (MSP) application will be excluded from some data gathering because only income information is verified for MSP. Different forms and documentation are required for the different E&D programs. The worker reviews the case information, then schedules and conducts an interview (required for E&D applicants) to determine the appropriate forms and documents required, and updates the case file for the system to generate the applicant mailing package. System generated mailings are prepared and sent by the Mailroom/Imaging function.

If the income and asset verification and designated forms are not received in 20 days, the case will be assigned a denial code and recorded on the case action system log. If the income and asset verification and designated forms are received within the 20 days, the budget will be calculated based on a formula. If the income or assets are under the eligibility limits for all the medical assistance programs available to the elderly and disabled population, the case is assigned an award code which is noted in the case action system log. An eligibility notice is generated and sent to the applicant.

If a person who is determined eligible also owns countable property, then an alert will be sent to the assigned case worker to obtain a signature on the TEFRA lien. The case worker will contact the applicant to obtain an original signature on the TEFRA lien; the applicant will execute the lien; the worker will scan the document and send the executed TEFRA lien to the ECM. The TPL staff will then file the original TEFRA lien with the applicable Probate Court and update the case file.

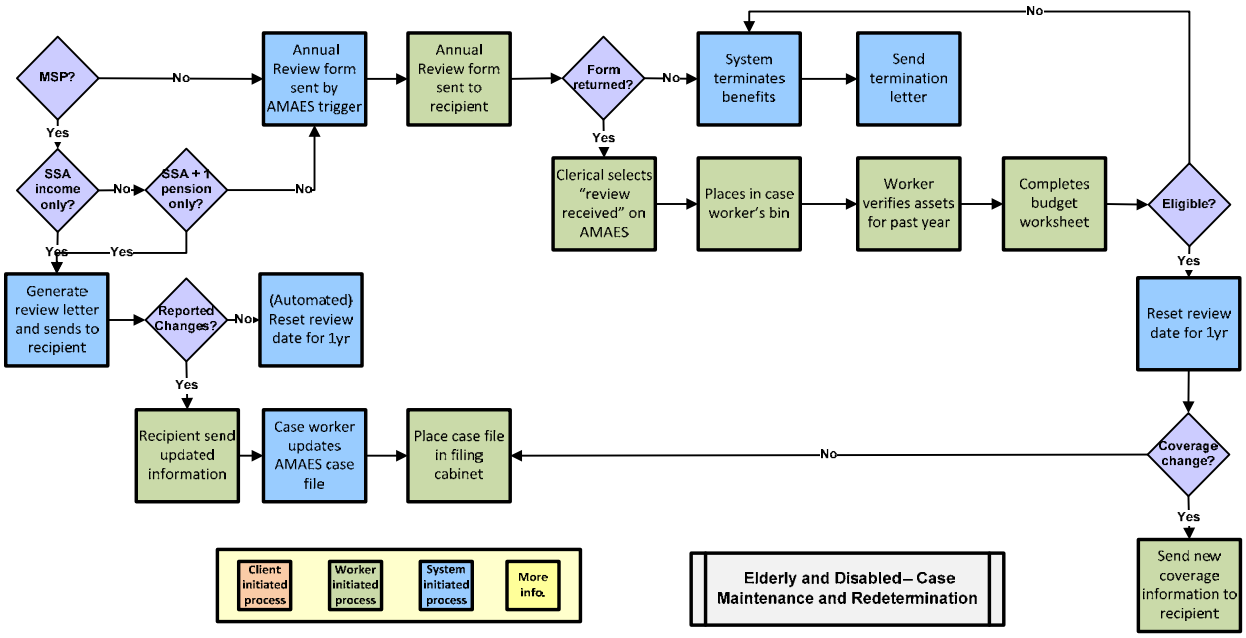

Elderly and Disabled Certification To Be Process
Applicant
Third Party Liability
Case Worker
Mail Room Imaging
ECM
Recipient Subsystem
Application for Medical assistance submitted online, via phone/IVR, or via mail/image
Interview
Income & asset verification declaration, other forms
Applicant returns signed declaration with any other required document(s)
Receives electronic or mailed Checklist request sent for source documents
Access to scanner?
No
Yes
Beneficiary mails with required document(s)
B
Submits document(s) online
A
Applicant executes the TEFRA lien
Receives award & certificate of credible coverage or denial notice
File TEFRA lien in the applicable Probate Court & Update Case File
Interview and determine documents required
B
All eligibility documents received?
No
Update case file to trigger request
Yes
Update case file status
Contact applicant to obtain original signature on TEFRA lien
Mailroom prepares system generated letters for mailing
Document(s) received, imaged and indexed
Mailroom prepares system generated letters for mailing
Yes
Mailroom prepares system generated letters for mailing
Image of all forms stored in case file
Scanned images stored in case file
No
Image of notice stored in case file
Perform SVES, SSA data validation, Medicare entitlement
Generate verification checklist notice
A
Generate verification checklist notice
Beneficiary Online Subscriber?
Send Alert to case worker to obtain signature on TEFRA lien
Check BENDEX, SDX
Generate pre-populated income & asset verification form & designated forms
Applicant may ask for more time, additional 10 days allowed if requested
Form/ Docs Received within 20 days?
No
Assign denial code and record on case action system log
Yes
Generate award or denial notice
Screen applicant for ELE & Medicaid Eligibility
Excludes asset verification for MSP applications
Calculate budget based on formula
Qualifying Income Trust allowed?
No
Check IRS and SSA history for income & assets
Assign to worker (e.g alpha-split, facility or program)
Over income/ assets limit?
Yes
Yes
Owns countable property ?
No
Assign award code and record on case action system log
No
Excludable property requires additional forms be mailed & signed

CURRENT: Overview of the Elderly and Disabled Case Maintenance and Redetermination Process

Ongoing Case Maintenance and Redetermination

The Elderly and Disabled Division caseworkers are responsible for posting changes in case status as they receive notice of these changes. The annual redetermination process is started at the time a redetermination notice is generated by the AMAES system. The process that is followed for the initial redetermination process is repeated, including the requirement to complete an in-person interview with all recipients or their sponsors.

The overall process that is followed for case maintenance and redetermination is summarized below.



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For Future Process- see page 268.

CURRENT: Overview of the Eligibility Determination Process for the Certification Support Function

Certification Support

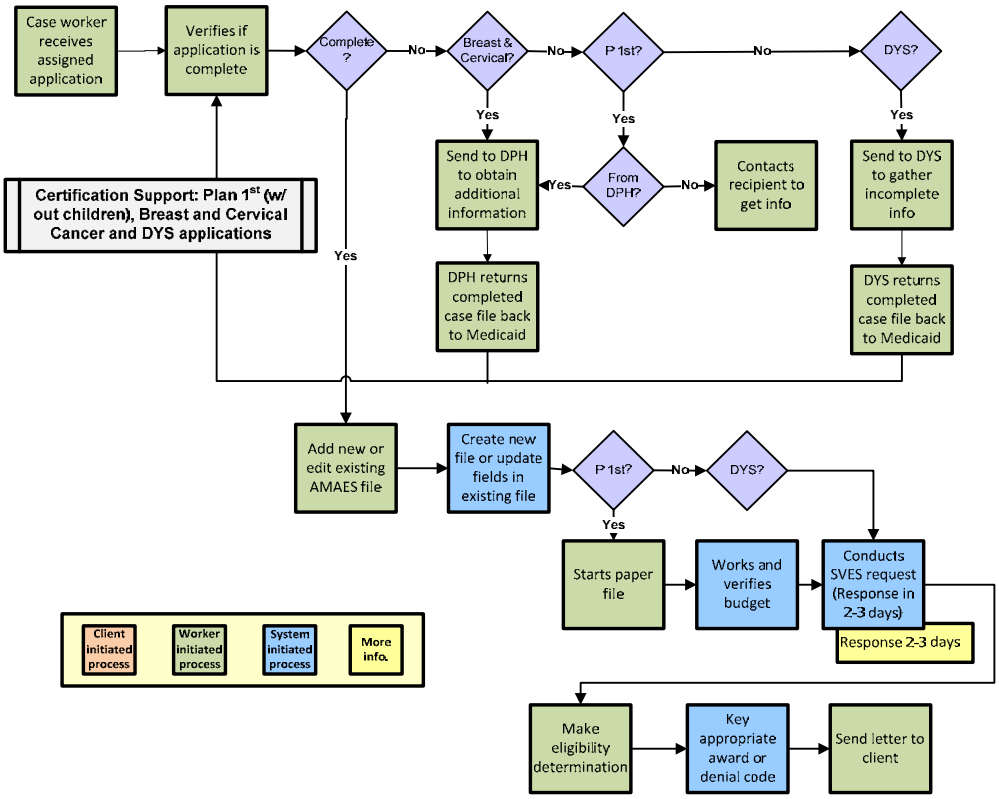
The Certification Support Division (CSD) performs two major eligibility determination functions. First, it reviews and approves the eligibility determinations made by the various other programs that use the Medicaid program to help cover the costs of their service efforts, including: the Breast and Cervical Cancer program; the Refugee Resettlement program; DPH; DYS; and the Department of Human Resources. Second, the Division performs eligibility determination services for the backlogged cases received from the Family Certification and Elderly and Disabled Divisions.

Eligibility Determination and Case Management

The Division follows the same process for cases that it receives from the Family Certification and Elderly and Disabled Divisions that are followed for those other divisions. For the cases that it receives from other agencies and programs, such as the Refugee Resettlement Program, the Division primarily checks to verify that these cases have been handled correctly by these agencies and programs. The staff is required to complete most functions on a manual basis. The AMAES system is used to record all case decisions.

The overall eligibility determination process that is followed by Certification Support staff is shown below.

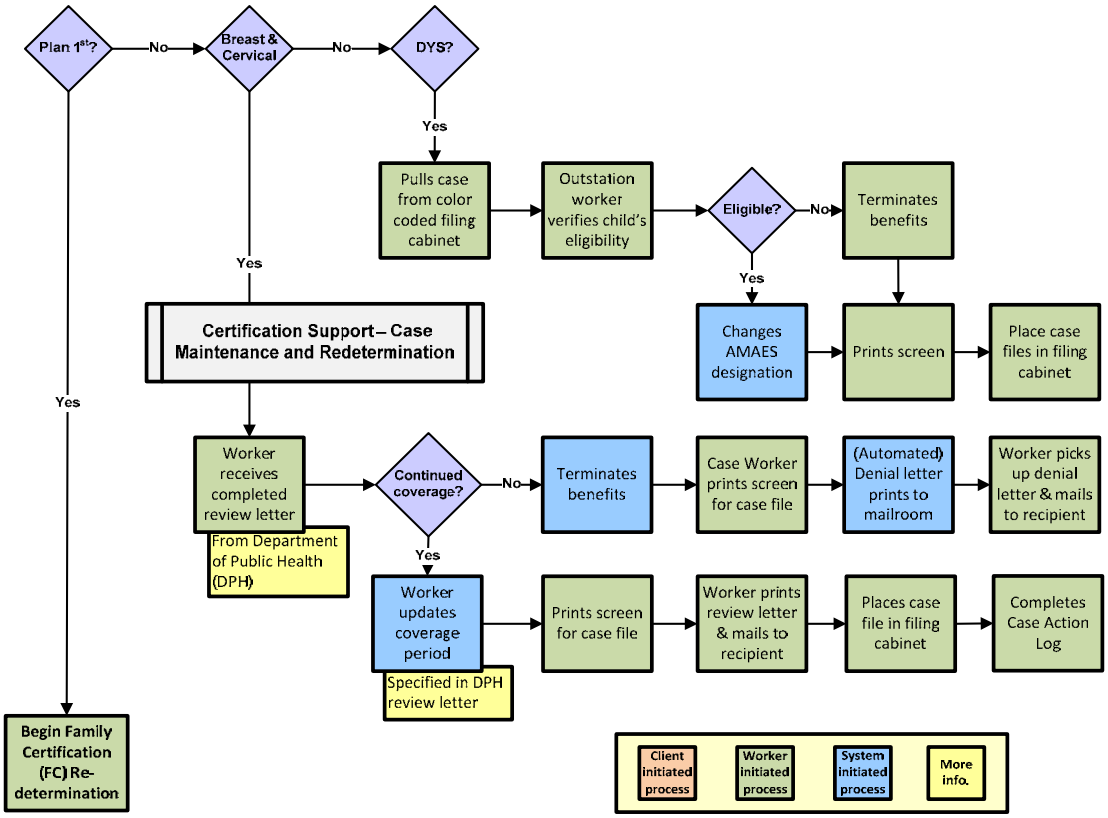
For Future Process- see page 266.



CURRENT: Overview of the Certification Support Case Maintenance and Redetermination Process

Ongoing Case Maintenance and Redetermination

The case maintenance and redetermination process that is followed for the Breast and Cervical Cancer program, Plan First for women without children, and the Department of Youth Services is shown below.



For Future Process- see page 268.

CURRENT: TPL Initial Application, Reported Change, and Recertification

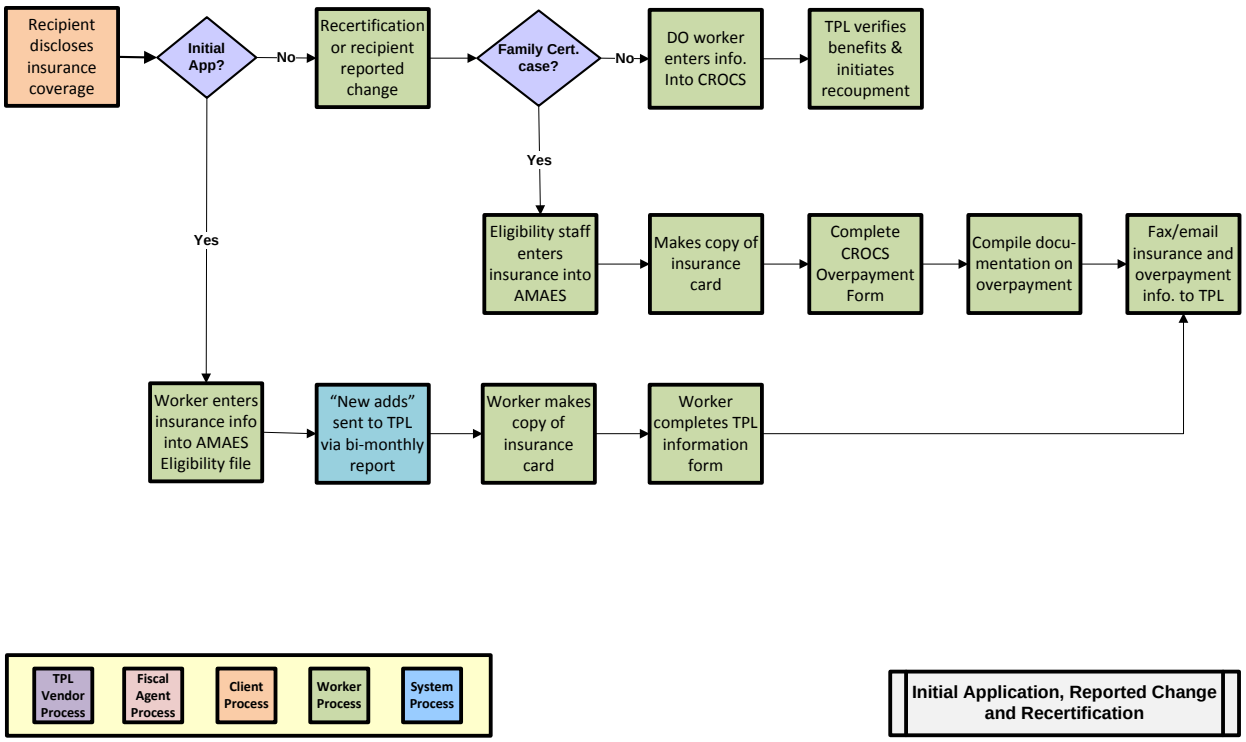
Identification of Third Party Liability

The Alabama Medicaid Agency's Third Party Division uses a number of sources and performs several key functions to identify any possible liable third parties. Source leads include a combination of recipient inquires, data exchanges, and referrals. The Third Party Division staff is responsible for verifying the third party coverage of an individual or family, which may include: medical support court awarded benefits; out-of court settlements; money paid to a recipient for medical care received due to injury; or payment made directly to a health care provider or to the State.

Ongoing Reporting from Recipients, Eligibility Workers, and Providers

Recipients are directed to notify Medicaid about any circumstances that might affect their coverage, such as the relocation of the recipient to another state or change in marital status, income, or insurance coverage. Recipients are to notify the Medicaid Third Party Division immediately if they acquire new insurance coverage or terminate any insurance coverage while on Medicaid. The Agency also advises applicants to identify a relative to report the death of a Medicaid recipient.

A high-level overview of this process is provided below.



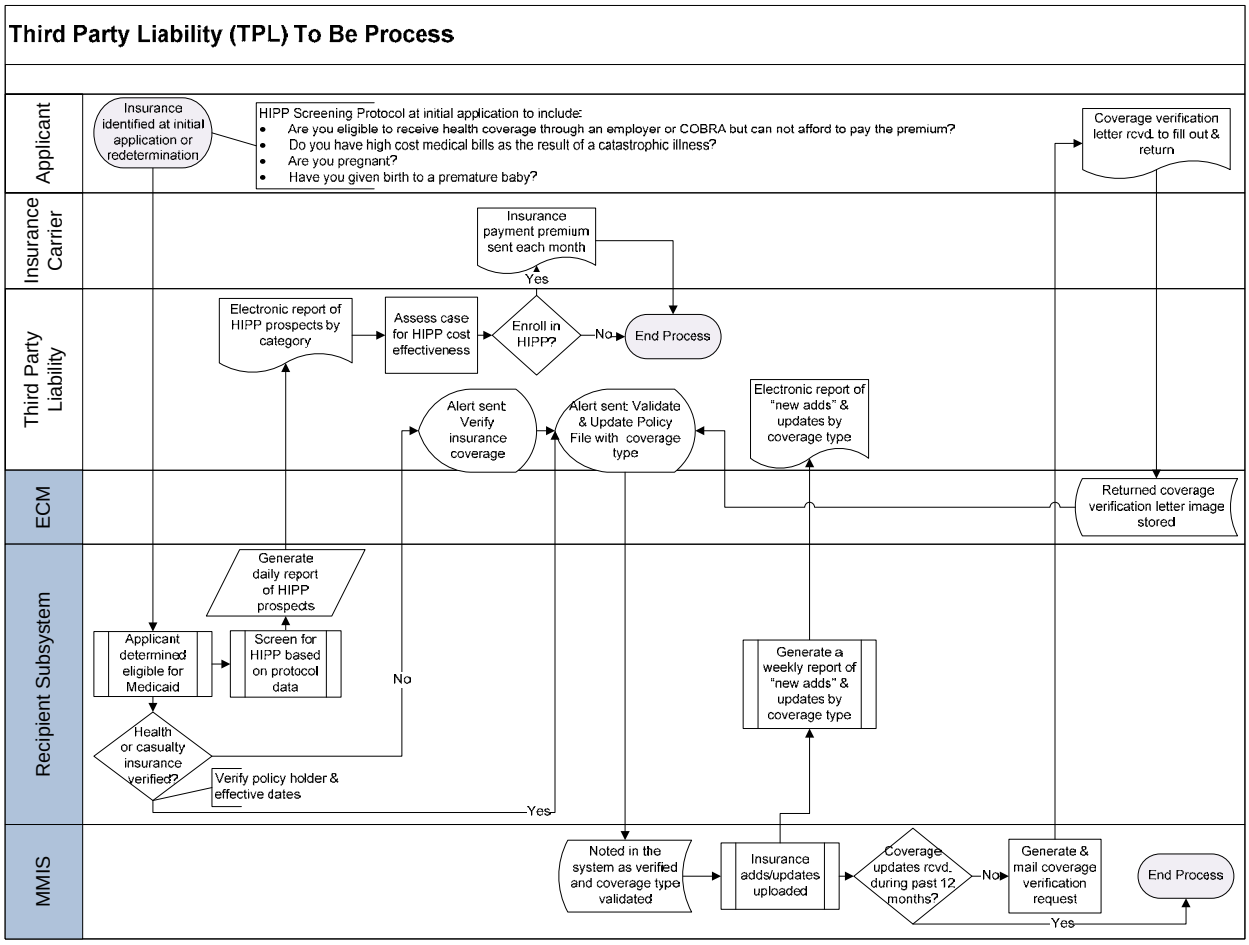
FUTURE: Third Party Liability (TPL) Process

Third Party Liability

Persons who were initial applicants for benefits, who have been determined eligible, and answer yes to any of the application questions that are a part of the HIPP screening protocol, will be referred to the TPL staff as a HIPP prospect and presented in an electronic daily report of HIPP prospects. The TPL staff will assess the case for cost-effectiveness and determine if the prospect should be enrolled in the HIPP Program. If the applicant is enrolled in the program, the Third Party Liability staff will trigger payment of the monthly premiums to the insurance carrier.

If information is identified at initial application or redetermination and a third party insurance card is presented it will be scanned and stored in the ECM system. If the insurance can be electronically verified (e.g. third party clearinghouse or systems interfaces) the verification will be noted in the case action system log. For a person who is determined eligible for medical assistance, or who is currently receiving benefits, whose third party coverage has not been verified electronically, that information will be electronically referred to TPL staff for validation. Third party coverage that has been validated electronically or by third party staff will be noted in the case action system log as verified and summarized daily via an electronic report of “new adds” by coverage type.

Also, any Medicaid beneficiary whose insurance coverage information has not been updated in the MMIS system during the past 12 months will receive a MMIS generated verification request. The case action system log will note that the letter has been generated and a copy of the letter will be stored in the ECM system. The letter will be electronically routed to and mailed by the Mailroom/Imaging staff. Once the applicant receives the verification letter, they will fill it out and return it. The system will track how many verification forms were received in a Summary Report and per case basis via the case action system log.


Third Party Liability (TPL) To Be Process
Applicant
Insurance Carrier
Third Party Liability
ECM
Recipient Subsystem
MMIS
Insurance identified at initial application or redetermination
HIPP Screening Protocol at initial application to include:
Are you eligible to receive health coverage through an employer or COBRA but can not afford to pay the premium?
Do you have high cost medical bills as the result of a catastrophic illness?
Are you pregnant?
Have you given birth to a premature baby?
Coverage verification letter rcvd. to fill out & return
Insurance payment premium sent each month
Yes
Electronic report of HIPP prospects by category
Assess case for HIPP cost effectiveness
Enroll in HIPP?
No
End Process
Alert sent: Verify insurance coverage
Alert sent: Validate & Update Policy File with coverage type
Electronic report of "new adds" & updates by coverage type
Returned coverage verification letter image stored
Generate daily report of HIPP prospects
Applicant determined eligible for Medicaid
Screen for HIPP based on protocol data
No
Generate a weekly report of "new adds" & updates by coverage type
Health or casualty insurance verified?
Verify policy holder & effective dates
Yes
Noted in the system as verified and coverage type validated
Insurance adds/updates uploaded
Coverage updates rcvd. during past 12 months?
No
Generate & mail coverage verification request
Yes
End Process

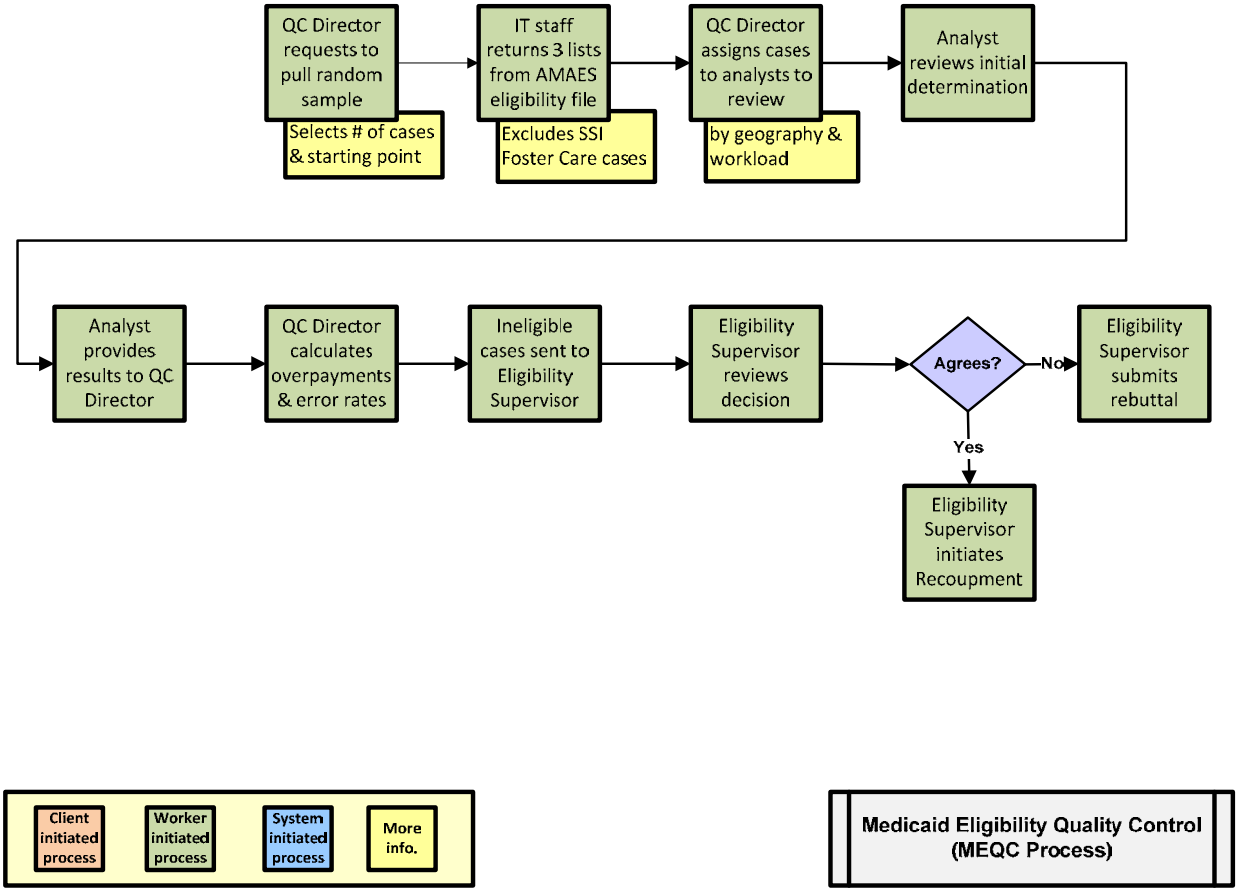
CURRENT: MEQC Process

Quality Control Unit

The Program Integrity Quality Control Unit is responsible for ensuring the accuracy of eligibility determinations and performing quality control reviews of randomly selected samples of Medicaid recipients for eligibility determination errors. Quality Control is responsible for handling the State's Medicaid Eligibility Quality Control (MEQC) and Payment Error Rate Measurement (PERM) eligibility review processes. Findings from these reviews provide the basis for corrective action to reduce erroneous Medicaid payments.

MEQC Review Process

The purpose of the MEQC case review is to: 1) monitor the accuracy and timeliness of Medicaid eligibility determinations; 2) avoid inappropriate payments and client determination delays; 3) identify methods to reduce and prevent errors related to incorrect eligibility determinations; and 4) identify misspent Federal Financial Participation (FFP) dollars related to incorrect eligibility determinations.
A high-level overview of the MEQC case review process is provided below.



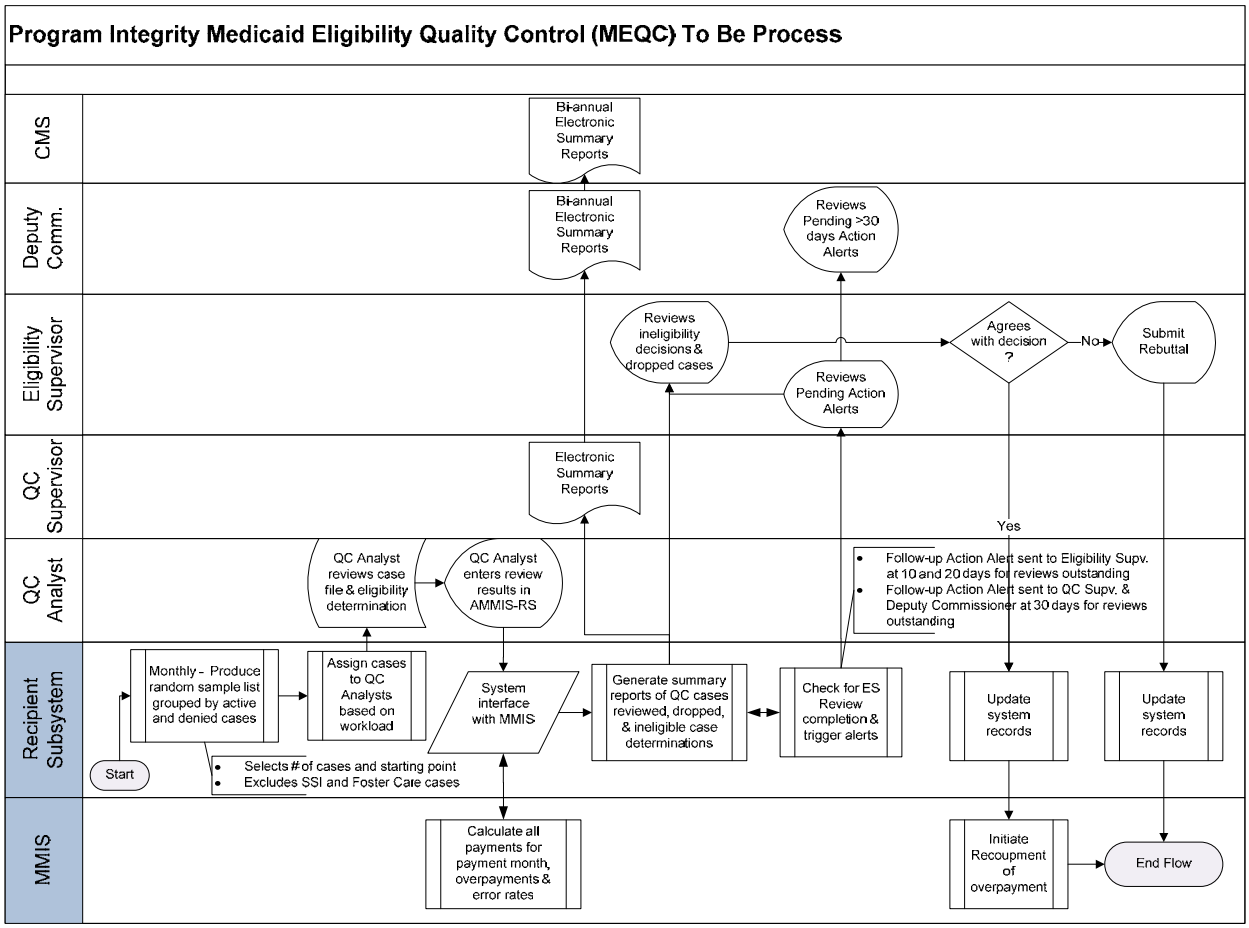
FUTURE: Program Integrity Medicaid Eligibility Quality Control (MEQC) Process

Medicaid Eligibility Quality Control

The Recipient Subsystem will automatically produce the monthly random sample list. The system will assign the monthly random sample list to a QC Analyst based on their workload. The QC Analyst will receive the electronic case file and eligibility determination. The QC Analyst reviews the documentation and enters their findings on the case in the Recipient Subsystem's Program Integrity MEQC screens.

The system will calculate payments for all the cases in the monthly sample list for the payment month, overpayments and error rates. The system will also generate a Summary Report of Reviewed and Undetermined QC cases.

The Eligibility Supervisor will receive an electronic referral from the QC staff notifying them of their findings of undetermined or ineligible. The Eligibility Supervisor must then determine whether they concur with or rebut QC's findings. If the Eligibility Supervisor notes in the Recipient Subsystem that they concur with QC's findings, the Recipient Subsystem will interface with the MMIS system to initiate recoupment. If the Eligibility Supervisor does not respond to the electronic referral, they will be sent an alert at 10 and 20 days to notify them that they must review QC Findings and determine if they concur or rebut the findings. The Eligibility Supervisor will also be sent pending action alerts on cases that have not yet been reviewed that were found undetermined or ineligible. If the system does not receive a concurrence or rebuttal from the Eligibility Supervisor within 30 days of the review, the Deputy Commissioner of Beneficiary Services will be notified that no action has been taken on cases identified as undetermined or ineligible by QC.

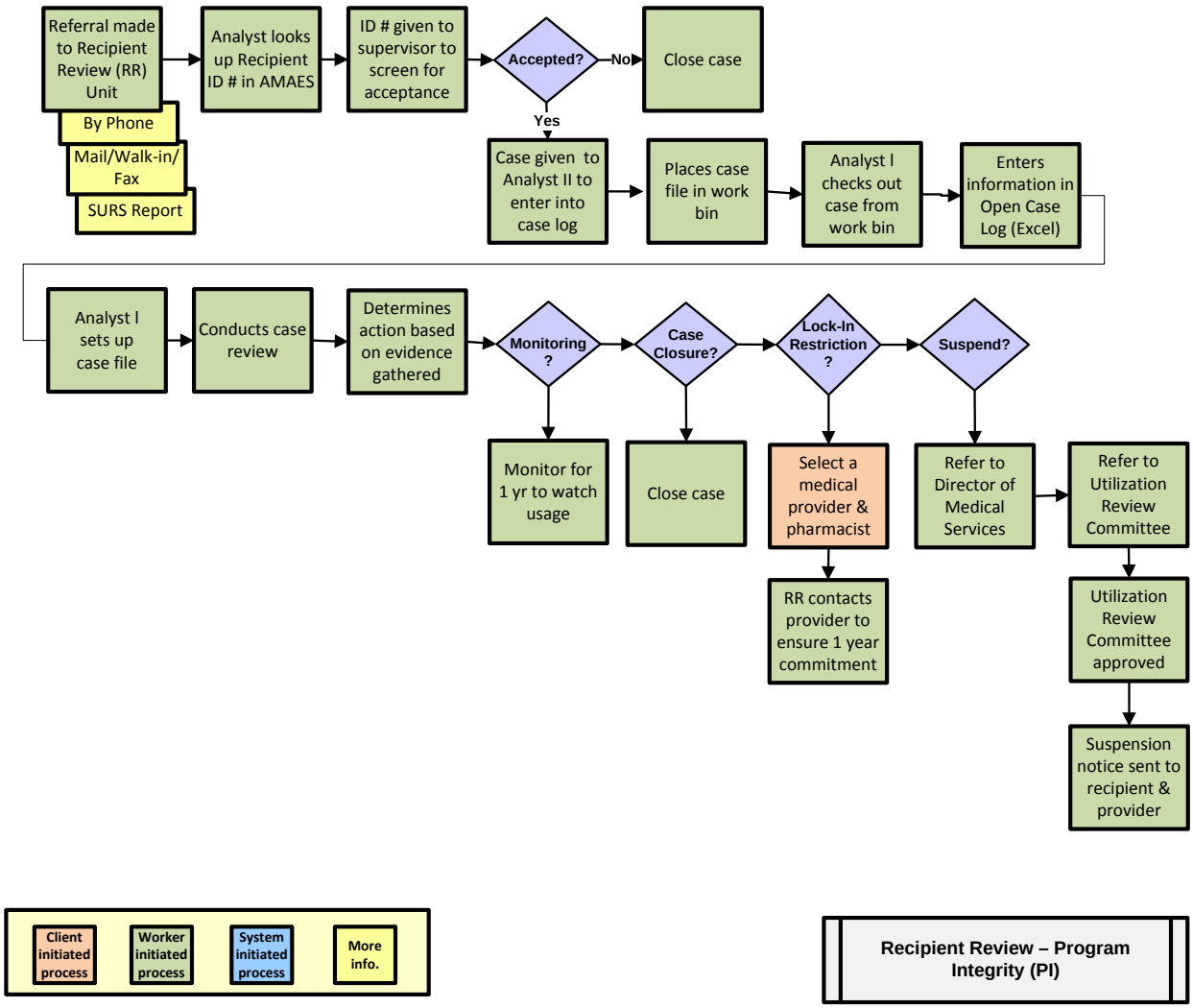


CURRENT: Recipient Review Process

Recipient Review Unit

The Program Integrity Division's Recipient Review Unit is responsible for performing desk reviews and closely monitoring program usage based on SURS Exception Reports to determine overuse or misuse of services. They also receive walk-in and fax referrals.

A high-level overview of related processes is provided below.

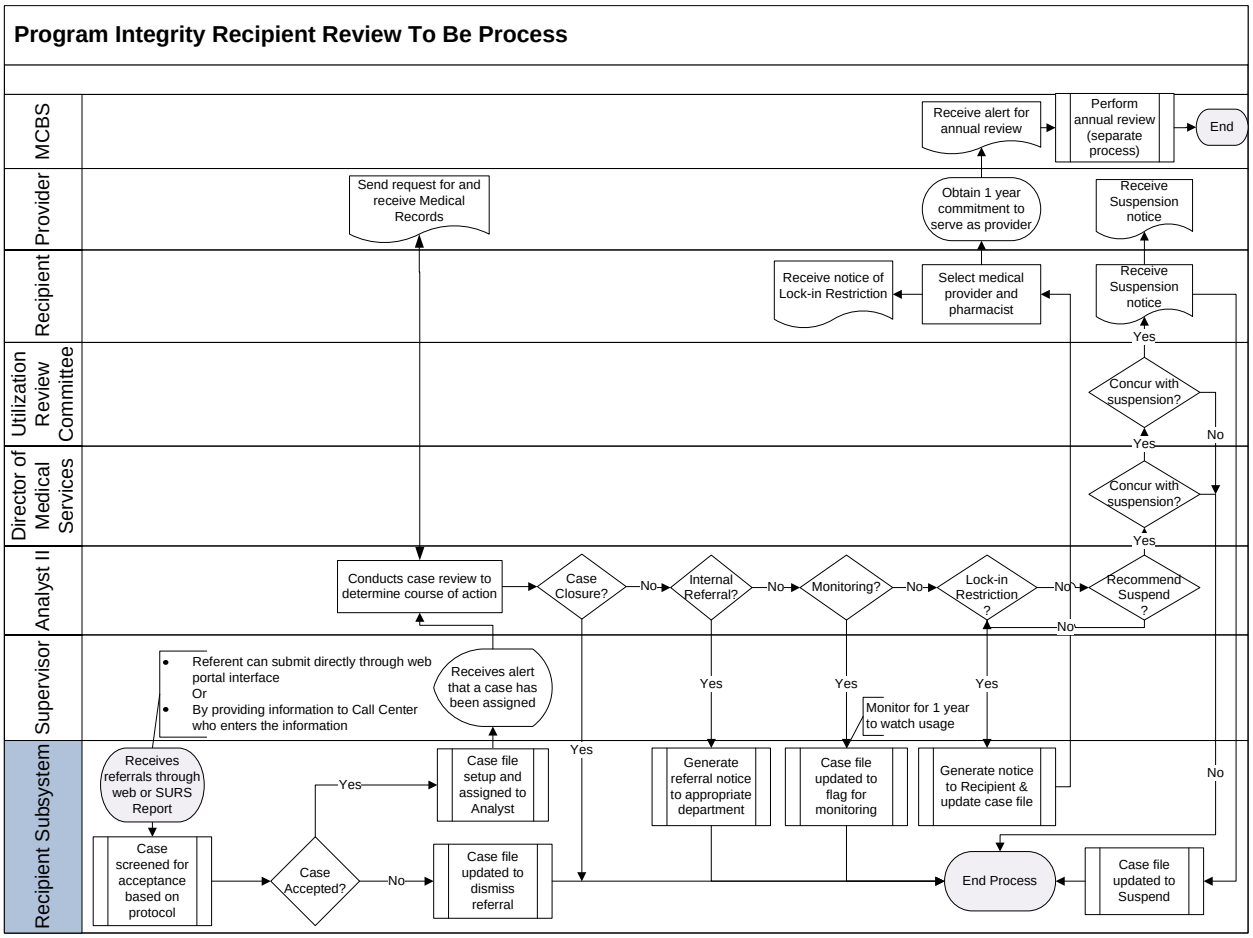


FUTURE: Program Integrity Recipient Review Process

Recipient Review Unit

Referrals are received by phone via the Call Center, online or through SURS reports. The case will be screened for acceptance based on Recipient Review Protocol. If a case is not accepted, the system will be updated in the case action system log. If the case is accepted, the case is assigned to an Analyst who then reviews the information that is presented from MMIS and the Recipient Subsystem to determine the course of action to be taken. There are four courses of action that can be taken which are as follows:

- **Lock-in to Physician and/or Pharmacy:** If the review indicates overuse and/or misuse of services, the recipient may be locked in to one physician and/or pharmacy for health care services. Medicaid may also place limitations on certain medications such as controlled drugs and/or other drugs. Recipients who are placed on the Lock-In Restriction Program are notified by electronic notice if they are an online subscriber or by certified letter of the pending restriction and the need for them to provide the names of their chosen physician and/or pharmacy. The physician and pharmacy are contacted by the Recipient Review Unit to determine if they will agree to serve as primary care physician or pharmacy while the recipient is on restriction. The physician's information will be updated in the Recipient Capitation Lock-In Screen, which is part of the MMIS Managed Care Subsystem. The Pharmacist information will be entered in the Pharmacy Lock-In Screen, which is part of the Recipient Subsystem.
- **Case Closure:** The second course of action that can be taken is closure of the case because there were no findings of fraud or abuse.
- **Monitoring Status:** The third course of action is to place a case on monitoring status, which involves reviewing the utilization pattern of a recipient for a 12-month period. While the case is on monitoring status, the Recipient Subsystem will review staff reviews patterns of service and benefit use to ensure there are no extreme or blatant abuses.
- **Suspension:** The fourth course of action that can be taken is suspension. A person who is on lock-in status must receive a minimum of two system generated letters before they can be referred to the Director of Medical Services and the Utilization Review Committee. The initial notice is an Active First Warning letter and indicates their case will be reviewed again in six months. If after the six-month review the recipient is still abusing Medicaid, a Second Warning Letter is sent. If the pattern of abuse continues after the second notification, the case is referred to the Utilization Review Committee (URC) with a recommendation for suspension. If the URC agrees with the Recipient Review Unit's recommendation, the recipient is notified that his or her Medicaid benefits will be suspended for one year via the URC Suspension of Medicaid Benefits letter.


Program Integrity Recipient Review To Be Process
MCBS
Provider
Recipient
Utilization Review Committee
Director of Medical Services
Analyst II
Supervisor
Recipient Subsystem
Receive alert for annual review
Perform annual review (separate process)
End
Send request for and receive Medical Records
Obtain 1 year commitment to serve as provider
Receive Suspension notice
Receive notice of Lock-in Restriction
Select medical provider and pharmacist
Receive Suspension notice
Yes
Concur with suspension?
No
Yes
Concur with suspension?
Yes
Conducts case review to determine course of action
Case Closure?
No
Internal Referral?
No
Monitoring?
No
Lock-in Restriction ?
No
Recommend Suspend ?
No
Referent can submit directly through web portal interface
Or
By providing information to Call Center who enters the information
Receives alert that a case has been assigned
Yes
Yes
Yes
Monitor for 1 year to watch usage
Receives referrals through web or SURS Report
Yes
Case file setup and assigned to Analyst
Yes
Generate referral notice to appropriate department
Case file updated to flag for monitoring
Generate notice to Recipient & update case file
No
Case screened for acceptance based on protocol
Case Accepted?
No
Case file updated to dismiss referral
End Process
Case file updated to Suspend

CURRENT: Program Integrity Payment Error Rate Measurement (PERM)

PERM Review Process

The purpose of the PERM review is to produce a State and national level error rate and initiate appropriate follow-up in order to comply with the requirements of the Improper Payments Information Act (IPA) of ***2002***. Under PERM, reviews are conducted in three areas: 1) Medicaid fee-for-service (FFS); 2) Medicaid managed care; and 3) program eligibility for both Medicaid and State Children's Health Insurance Program (CHIP). CMS developed a national contracting strategy for measuring the first two areas, FFS and managed care. States are responsible for measuring the third area, program eligibility, for both programs. Each state is subject to a PERM review once every three years. Alabama was first reviewed in FY 2007 and is currently in a PERM review period for FY 2010.

The PERM sample universe is drawn from active cases from three strata: Applications, Redeterminations, and Other. The Applications stratum contains all cases in the sample in which the State took action to grant eligibility in the sample month based on a completed application. The Redeterminations stratum contains cases in which the State took action to continue eligibility in the sample month. The Other stratum contains cases that are on the program in the sample month and do not meet the Applications or Redeterminations strata criteria.

States are required to submit all monthly findings to CMS according to the eligibility timeline, which is used to determine the eligibility component of the error rate. The State of Alabama Medicaid Agency has a three percent tolerance rate; otherwise it is subject to disallowances.

Note: The current PERM process is not displayed in a flow chart.

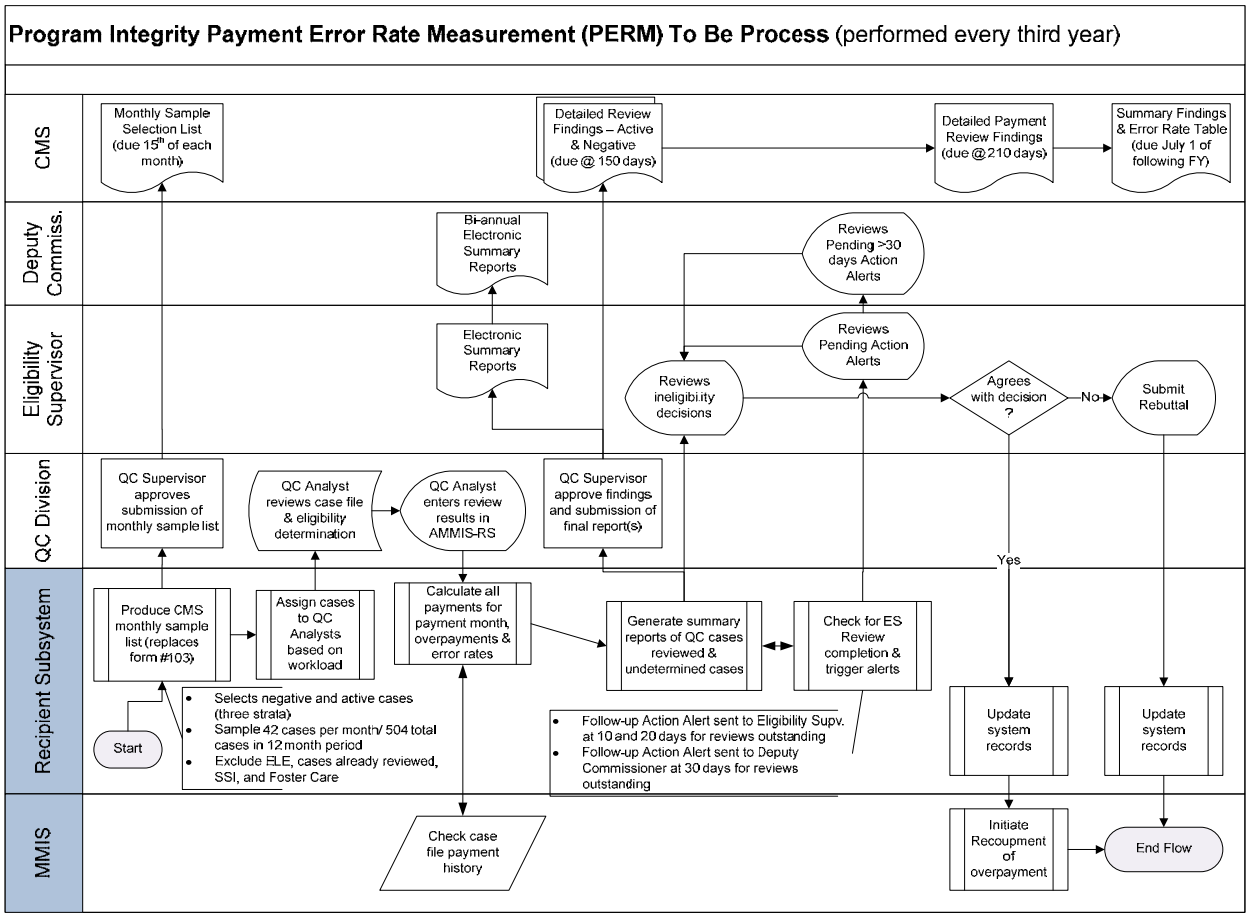
FUTURE: Program Integrity Payment Error Rate Measurement (PERM)

PERM Review Process

The Recipient Subsystem will automatically produce the monthly sample list. Once the list is generated, the QC Supervisor electronically approves submission of the monthly sample list before it is electronically submitted to CMS by the 17th day of each month. The system will assign the monthly sample list to the QC Analysts based on their workload. The QC Analyst will receive the electronic case file and eligibility determination. The QC Analyst reviews the documentation and enters their findings on the case in the Recipient Subsystem's Program Integrity-PERMS screens.

The QC Supervisor reviews the findings and submits the reports to the appropriate parties. The Eligibility Supervisor is notified of the QC staff's ineligible determinations, which is noted in the Recipient Subsystem PERM screens. If the Eligibility Supervisor notes in the Recipient Subsystem that they concur with QC's findings, the system will interface with the MMIS system to update records. The Eligibility Supervisor will be sent alerts at 10 and 20 days to notify them that they must review QC's Findings and determine if they concur or rebut. The Eligibility Supervisor will also receive a pending action alert on cases that they have not yet reviewed; the alert will inform the user that if they do no review QC Findings within 30 days of the review, the Deputy Commissioner of Beneficiary Services will be notified.

The system will calculate payments, overpayments and error rates for all the cases in the monthly sample for the payment month. The system will generate a Summary Report of Reviewed and Undetermined QC cases that will be used to create several reports. The results from these reports will be summarized bi-annually and presented to the Deputy Commissioner of Beneficiary Services and Administrative Services. This report will also contain the information that will be used to create four separate reports that must be submitted to the Center for Medicare and Medicaid Services: the Detailed Review Findings Negative, Detailed Review Findings Active, Detailed Payment Review Findings and Summary Findings and Error Rate Tables reports.


Program Integrity Payment Error Rate Measurement (PERM) To Be Process (performed every third year)
CMS
Deputy Commiss.
Eligibility Supervisor
QC Division
Recipient Subsystem
MMIS
Monthly Sample Selection List (due 15th of each month)
Detailed Review Findings – Active & Negative (due @ 150 days)
Detailed Payment Review Findings (due @ 210 days)
Summary Findings & Error Rate Table (due July 1 of following FY)
Bi-annual Electronic Summary Reports
Reviews Pending >30 days Action Alerts
Electronic Summary Reports
Reviews Pending Action Alerts
Reviews ineligibility decisions
Agrees with decision ?
No
Submit Rebuttal
QC Supervisor approves submission of monthly sample list
QC Analyst reviews case file & eligibility determination
QC Analyst enters review results in AMMIS-RS
QC Supervisor approve findings and submission of final report(s)
Yes
Produce CMS monthly sample list (replaces form #103)
Assign cases to QC Analysts based on workload
Calculate all payments for payment month, overpayments & error rates
Generate summary reports of QC cases reviewed & undetermined cases
Check for ES Review completion & trigger alerts
Start
Selects negative and active cases (three strata)
Sample 42 cases per month/ 504 total cases in 12 month period
Exclude ELE, cases already reviewed, SSI, and Foster Care
Follow-up Action Alert sent to Eligibility Supv. at 10 and 20 days for reviews outstanding
Follow-up Action Alert sent to Deputy Commissioner at 30 days for reviews outstanding
Update system records
Update system records
Check case file payment history
Initiate Recoupment of overpayment
End Flow

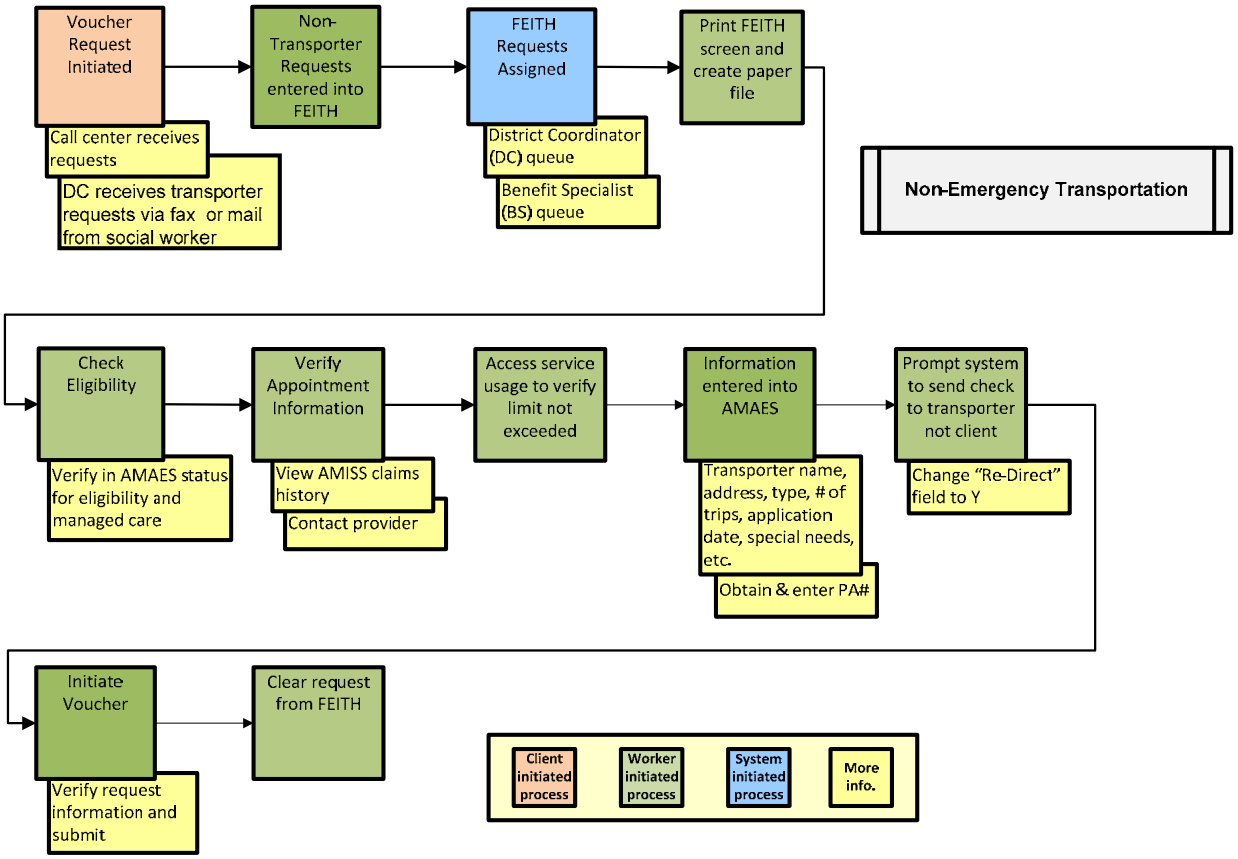
CURRENT: Key Non-Emergency Transportation (NET) Processes

Background

The Alabama Medicaid program covers two types of transportation for eligible recipients—ambulance and non-emergency. The latter is provided through NET, which helps recipients obtain transportation to doctor's offices, clinics, hospitals, or other medical facilities in order to obtain treatment that is rendered by a Medicaid-enrolled treating provider. The travel may be made by private car, public transportation, or through transportation vendors (transporters) that are registered with Medicaid and paid at rates set through negotiation.

NET was designed as a recipient-driven voucher payment program and was originally intended to pay for travel that could be arranged ahead of time. However, the program currently provides post-transportation reimbursement and will be moving from the voucher payment system to Electronic Benefits Transfer (EBT) effective April 1, 2010.

The figure below provides a high-level overview of key NET processes.



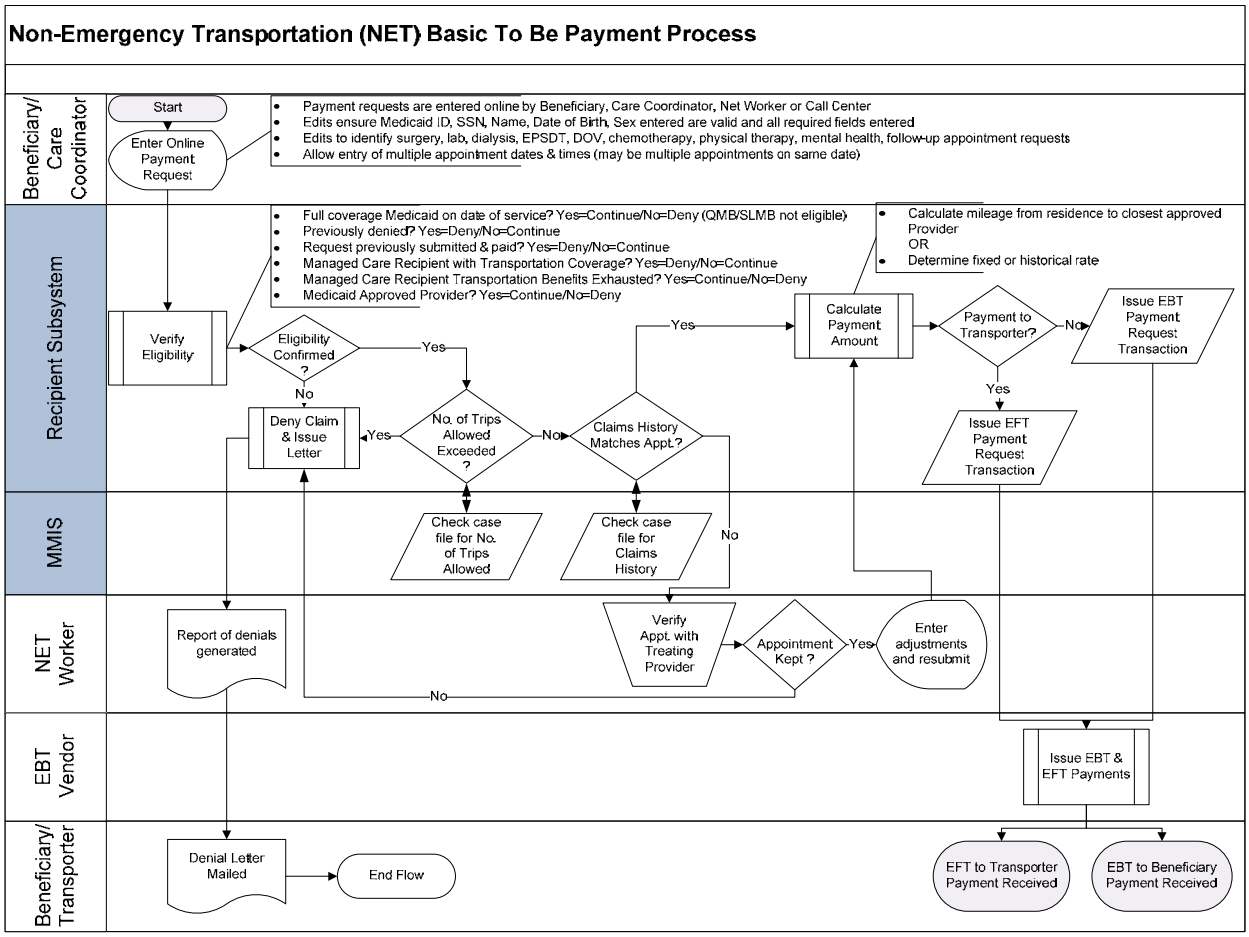
FUTURE: Non-Emergency Transportation (NET) Basic Payment Process

NET Basic

A beneficiary submits a payment request online; the Recipient Subsystem will verify eligibility. If eligibility is not verified, the claim is automatically denied and a system generated letter is created and stored in the Electronic Content Management system. All correspondence is routed to the Mailroom/Imaging function which handles printing and mailing of notices to the beneficiary or transporter. Also, the system will generate a report of all denials and the reason for the denial.

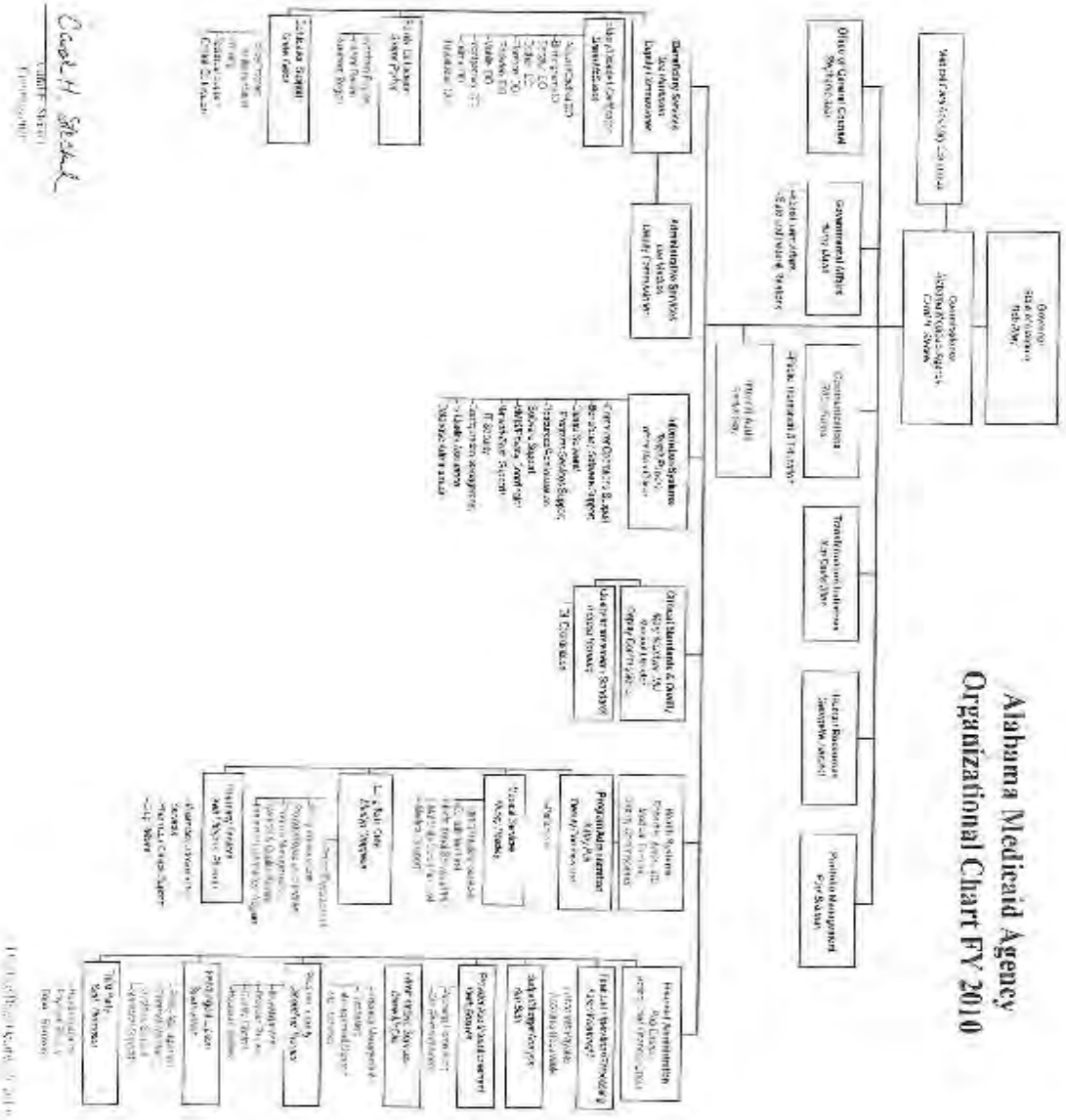
If Medicaid eligibility is verified, the system will interface with the MMIS to determine if the number of trips allowed is exceeded. If trips allowed are not exceeded, the system will interface with the MMIS to determine if the claim history matches the appointment date. If there is a match, the payment is calculated. If the payment is issued to the beneficiary, a Payment Request Transaction is sent to the EBT vendor and subsequently posted to an Electronic Benefits Card. If the payment is to be issued to the transporter, a Payment Request Transaction is sent to the EBT vendor and payment is issued via electronic funds transfer.

If there is not a claim associated with the appointment date, the NET Coordinator will contact the treating provider to verify whether the appointment was kept.



APPENDIX M: MEDICAID ORGANIZATIONAL CHART

The following is the organizational chart for the Alabama Medicaid Agency:



APPENDIX N: MITA MATURITY MATRIX

The spreadsheet below represents the results of the Agency's MITA State Self Assessment which was completed December 2009.

MITA BUSINESS AREA	ALABAMA BUSINESS AREA	MITA BUSINESS PROCESS	ALABAMA BUSINESS PROCESS	AS IS LEVEL OF BUSINESS CAPABILITY	TO BE LEVEL OF BUSINESS CAPABILITY
Member Management					
Member Management	Member Management	ME Determine Eligibility	ME01 Determine Eligibility	1	1
Member Management	Member Management	ME Enroll Member	ME02 Enroll Member	1	1
Member Management	Member Management	ME Disenroll Member	ME03 Disenroll Member	1	1
Member Management	Member Management	ME Inquire Member Eligibility	ME04 Inquire Member Eligibility	1	1
Member Management	Member Management	ME Manage Application & Member Communication	ME05 Manage Application & Member Communication	1	1
Member Management	Member Management	ME Manage Member Grievance and Appeal	ME06 Manage Member Grievance and Appeal	1	1
Member Management	Member Management	ME Manage Member Information	ME07 Manage Member Information	1	1
Member Management	Member Management	ME Manage Population and Member Outreach	ME08 Manage Population and Member Outreach	1	1
Provider Management					
Provider Management	Provider Management	PM Enroll Provider	PM01 Enroll Provider	1	1
Provider Management	Provider Management	PM Disenroll Provider	PM02 Disenroll Provider	1	1

MITA BUSINESS AREA	ALABAMA BUSINESS AREA	MITA BUSINESS PROCESS	ALABAMA BUSINESS PROCESS	AS IS LEVEL OF BUSINESS CAPABILITY	TO BE LEVEL OF BUSINESS CAPABILITY
Provider Management	Provider Management	PM Inquire Provider Information	PM03 Inquire Provider Information	1	1
Provider Management	Provider Management	PM Manage Provider Communication	PM04 Manage Provider Communication	1	1
Provider Management	Provider Management	PM Manage Provider Grievance & Appeal	PM05 Manage Provider Grievance & Appeal	1	1
Provider Management	Provider Management	PM Manage Provider Information	PM06 Manage Provider Information	1	1
Provider Management	Provider Management	PM Perform Provider Outreach	PM07 Perform Provider Outreach	1	1
Contractor Management					
Contractor Management	Contractor Management	CO Produce Administrative or Health Services RFP	CO01 Produce Administrative or Health Services RFP	1	1
Contractor Management	Contractor Management	CO Award Administrative or Health Services Contract	CO02 Award Administrative or Health Services Contract	1	1
Contractor Management	Contractor Management	CO Manage Administrative or Health Services Contract	CO03 Manage Administrative or Health Services Contract	1	1
Contractor Management	Contractor Management	CO Close-out Administrative or Health Services Contract	CO04 Close-out Administrative or Health Services Contract	1	1
Contractor Management	Contractor Management	CO Manage Contractor Information	CO05 Manage Contractor Information	1	1

MITA BUSINESS AREA	ALABAMA BUSINESS AREA	MITA BUSINESS PROCESS	ALABAMA BUSINESS PROCESS	AS IS LEVEL OF BUSINESS CAPABILITY	TO BE LEVEL OF BUSINESS CAPABILITY
Contractor Management	Contractor Management	CO Manage Contractor Communication	CO06 Manage Contractor Communication	1	1
Contractor Management	Contractor Management	CO Perform Contractor Outreach	CO07 Perform Contractor Outreach	1	1
Contractor Management	Contractor Management	CO Support Contractor Grievance and Appeal	CO08 Support Contractor Grievance and Appeal	1	1
Contractor Management	Contractor Management	CO Inquire Contractor Information	CO09 Inquire Contractor Information	1	1
Operations Management					
Operations Management	Operations Management	OM Authorize Referral	OM01 Authorize Referral	N/A	N/A
Operations Management	Operations Management	OM Authorize Service	OM02 Authorize Service	1	2
Operations Management	Operations Management	OM Authorize Treatment Plan	OM03 Authorize Treatment Plan	N/A	N/A
Operations Management	Operations Management	OM Apply Attachment	OM04 Apply Attachment	1	1
Operations Management	Operations Management	OM Apply Mass Adjustment	OM05 Apply Mass Adjustment	1	1
Operations Management	Operations Management	OM Edit Claim/Encounter	OM06 Adjudicate and Price/Value Claim/Encounter	1	1
Operations Management	Operations Management	OM Audit Claim/Encounter	OM07 Adjudicate and Price/Value Claim/Encounter	1	1
Operations Management	Operations Management	OM Price Claim/Value Encounter	OM08 Adjudicate and Price/Value Claim/Encounter	1	1

MITA BUSINESS AREA	ALABAMA BUSINESS AREA	MITA BUSINESS PROCESS	ALABAMA BUSINESS PROCESS	AS IS LEVEL OF BUSINESS CAPABILITY	TO BE LEVEL OF BUSINESS CAPABILITY
Operations Management	Operations Management	OM Prepare Remittance Advice/Encounter Report	OM09 Prepare Remittance Advice/Encounter Report	2	2
Operations Management	Operations Management	OM Prepare Provider EFT/Check	OM10 Prepare Provider EFT/Check	1	1
Operations Management	Operations Management	OM Prepare COB	OM11 Prepare COB	N/A	N/A
Operations Management	Operations Management	OM Prepare EOB	OM12 Prepare REOMB	1	1
Operations Management	Operations Management	OM Prepare Home and Community Based Services Payment	OM13 Prepare Home and Community Based Services Payment	2	2
Operations Management	Operations Management	OM Prepare Premium EFT	OM14 Prepare Premium EFT/Check	1	1
Operations Management	Operations Management	OM Prepare Capitation Premium Payment	OM17 Prepare Capitation Premium Payment	1	2
Operations Management	Operations Management	OM Prepare Health Insurance Premium Payment	OM16 Prepare Health Insurance Premium Payment	1	1
Operations Management	Operations Management	OM Prepare Medicare Premium Payments	OM17 Prepare Medicare Premium Payments	1	1
Operations Management	Operations Management	OM Inquire Payment Status	OM18 Inquire Payment Status	2	2
Operations Management	Operations Management	OM Manage Payment Information	OM19 Manage Payment Information	1	1

MITA BUSINESS AREA	ALABAMA BUSINESS AREA	MITA BUSINESS PROCESS	ALABAMA BUSINESS PROCESS	AS IS LEVEL OF BUSINESS CAPABILITY	TO BE LEVEL OF BUSINESS CAPABILITY
Operations Management	Operations Management	OM Calculate Spend Down Amount	OM20 Calculate Spend Down Amount	N/A	N/A
Operations Management	Operations Management	OM Prepare Member Premium Invoice	OM21 Prepare Member Premium Invoice	N/A	N/A
Operations Management	Operations Management	OM Manage Drug Rebate	OM22 Manage Drug Rebate	2	2
Operations Management	Operations Management	OM Manage Estate Recovery	OM23 Manage Estate Recovery	1	1
Operations Management	Operations Management	OM Manage Recoupment	OM24 Manage Recoupment	2	2
Operations Management	Operations Management	OM Manage Cost Settlement	OM25 Manage Cost Settlement	1	1
Operations Management	Operations Management	OM Manage TPL Recovery	OM26 Manage TPL Recovery	1	1
Program Management					
Program Management	Program Management	PG Designate Approved Service and Drug Formulary	PG01 Designate Approved Service and Drug Formulary	2	2
Program Management	Program Management	PG Develop & Maintain Benefit Package	PG02 Develop & Maintain Benefit Package	2	2
Program Management	Program Management	PG Manage Rate Setting	PG03 Manage Rate Setting	1	1
Program Management	Program Management	PG Develop Agency Goals & Objectives	PG04 Develop Agency Goals & Initiatives	1	1
Program Management	Program Management	PG Develop and Maintain Program Policy	PG05 Develop & Maintain Program Policy	1	1
Program Management	Program Management	PG Maintain State Plan	PG06 Maintain State Plan	1	1
Program Management	Program Management	PG Formulate Budget	PG07 Formulate Budget	1	1

MITA BUSINESS AREA	ALABAMA BUSINESS AREA	MITA BUSINESS PROCESS	ALABAMA BUSINESS PROCESS	AS IS LEVEL OF BUSINESS CAPABILITY	TO BE LEVEL OF BUSINESS CAPABILITY
Program Management	Program Management	PG Manage FFP for MMIS	PG08 Manage FFP for MMIS	1	1
Program Management	Program Management	PG Manage F-MAP	PG09 Manage F-MAP	1	1
Program Management	Program Management	PG Manage State Funds	PG10 Manage State Funds	1	1
Program Management	Program Management	PG Manage 1099s	PG11 Manage 1099s	2	2
Program Management	Program Management	PG Generate Financial and Program Analysis/Report	PG12 Generate Financial and Program Analysis/Report	1	1
Program Management	Program Management	PG Maintain Benefits/Reference Information	PG13 Maintain Benefits/Reference Information	1	1
Program Management	Program Management	PG Manage Program Information	PG14 Manage Program Information	1	1
Program Management	Program Management	PG Perform Accounting Functions	PG17 Perform Accounting Functions	1	1
Program Management	Program Management	PG Develop and Manage Performance Measures and Reporting	PG16 Develop and Manage Performance Measures and Reporting	1	1
Program Management	Program Management	PG Monitor Performance and Business Activity	PG17 Monitor Performance and Business Activity	1	1
Program Management	Program Management	PG Draw and Report FFP	PG18 Draw and Report FFP	1	1
Program Management	Program Management	PG Manage FFP for Services	PG19 Manage FFP for Services	1	1
Business Management					

MITA BUSINESS AREA	ALABAMA BUSINESS AREA	MITA BUSINESS PROCESS	ALABAMA BUSINESS PROCESS	AS IS LEVEL OF BUSINESS CAPABILITY	TO BE LEVEL OF BUSINESS CAPABILITY
Business Relationship Management	Business Relationship Management	BR Establish Business Relationship	BR01 Establish Business Relationship	1	1
Business Relationship Management	Business Relationship Management	BR Manage Business Relationship	BR02 Manage Business Relationship	1	1
Business Relationship Management	Business Relationship Management	BR Terminate Business Relationship	BR03 Terminate Business Relationship	1	1
Business Relationship Management	Business Relationship Management	BR Manage Business Relationship Communication	BR04 Manage Business Relationship Communication	1	1
Program Integrity					
Program Integrity Management	Program Integrity Management	PI Identify Candidate Case	PIM01 Identify Candidate Case	1	1
Program Integrity Management	Program Integrity Management	PI Manage Case	PIM02 Manage Case	1	1
Care Management					
Care Management	Care Management	CM Establish Case	CM01 Establish Case	1	1
Care Management	Care Management	CM Manage Case	CM02 Manage Case	1	1
Care Management	Care Management	CM Manage Medicaid Population Health	CM03 Manage Medicaid Population Health	1	1
Care Management	Care Management	CM Manage Registry	CM04 Manage Registry	N/A	N/A

APPENDIX O: STATE TECHNICAL ARCHITECTURE

The Agency currently utilizes 2 platforms – an internal Microsoft Windows 2003 Active Directory domain and ISD State Data Center IBM z/800 Model 2066-003 mainframe computer.

Current Mainframe Narrative

Basic functions of the state data center mainframe computer:

- Serves as a data repository for many of the data files that Medicaid utilizes on a daily basis. The storage medium consists of disk, tape, cartridge, and optical
- Provides access to mainframe application and system software
- Provides telecommunication link to Medicaid users for access to files, processors, printers, etc. located at the data center
- File transfer with EDS in Montgomery, AL and Orlando, FL

Current Microsoft Windows 2003 Active Directory Domain Narrative

Basic functions of the internal Microsoft Windows 2003 Active Directory domain:

- Provides Medicaid users access to internal Medicaid applications; such as the Medicaid Personnel System, Accounts Payable System, Security Awareness Training, etc.
- Provides authentication and authorization for domain resources
- Provides basic file and print services for Medicaid users

Current Wide Area Network Narrative

Basic functions of the Agency Wide Area Network:

- Provides access between the nine (9) remote district offices with access to our local area network
- Provides connectivity to the ISD mainframe via the campus ring connection
- Provides connectivity to EDS resources at the TechnaCenter location
- Provides email, DNS, DHCP, and Internet services

Current Technical Infrastructure

Main office users access the LAN using TCP/IP over Ethernet. The nine (9) external District Offices access the WAN using TCP/IP over Ethernet via T-1 connections to Medicaid's local AT&T POP. A T-1 connects the local POP to a router at the main office. The main office and district offices access the ISD mainframe through an ISD provided VisualConnect 3270 Emulator web browser application.

LAN/WAN Software Standards

- Microsoft Windows XP & Microsoft Vista 32 Bit
- Internet Explorer 6.0 & 7.0
- McAfee Anti-Virus

- Microsoft Office 2007 (Professional)

LAN/WAN Hardware Standards

- IBM z/800 Model 2066-003 mainframe. We are currently running z/OS 1.9.
- Our disk storage consists of two (2) 10TB IBM 2105 Shark storage subsystems. One is used for production data bases and other data sets. The other IBM 2105 will be used to store virtual tape data.
- Our physical tape storage consists mainly of four (4) StorageTek tape cartridge silos housing both 200MB and 20GB tapes. We plan to migrate to the aforementioned virtual tape system (late summer 2009) and will upgrade our physical tapes to IBM 3592 Model 500GB tapes housed in an IBM 3494 Automatic Tape Library (ATL). Upon successful implementation of the virtual tape system and the ATL the four (4) StorageTek silos will be de-installed.
- We are establishing a Disaster Recovery (DR) data center in the Alabama State House. It will mirror our production data center.
- The ISD mainframe supports both TCP/IP and SNA based data communications and has a web site on the Internet.
- TN3270 access is possible via the Internet with the proper security clearances.
- We run both IMS and CICS based transaction subsystems.
- TCP/IP-based File Transfer Protocol (FTP) is the preferred file transfer platform and secure FTP (SFTP) is available.

Medicaid Hardware

Medicaid DO (District Offices) Switches – Cisco Catalyst 3500XL & Cisco Catalyst 3560

Tablet PC LE1700	
Base Unit:	LE1700
Processor:	INTEL CORE 2 DUO 1.5GHz 8
Memory:	1GB RAM
Keyboard:	
Monitor:	
Video Card:	
Hard Drive:	60GB
Floppy Disk Drive:	
Operating System:	
Mouse:	
NIC:	
CD-ROM or DVD-ROM Drive:	
Sound Card:	
Speakers:	

Notebook Latitude D830	
Base Unit:	Latitude D830

Processor:	INTEL CORE 2 DUO T7300 2.0GHz 8 MHZ 4M CACHE DUAL CORE PROCESSOR
Memory:	2GB RAM DDR2-667 SDRAM 2 DIMM
Keyboard:	Internal English
Monitor:	17.4 INCH WIDE SCREEN WXGA
Video Card:	256MB NVIDIA QUADRO NVS
Hard Drive:	80GB 7200 RPM
Floppy Disk Drive:	FLOPPY DRIVE
Operating System:	Windows XP PRO SP2
Mouse:	TOUCHPAD
NIC:	
CD-ROM or DVD-ROM Drive:	8X DVD +/- RW
Sound Card:	
Speakers:	

Desktop Optiplex GX620	
Base Unit:	OptiPlex GX620
Processor:	INTEL P4 620 W/HT 3.2GHz
Memory:	1GB RAM
Keyboard:	Standard
Monitor:	
Video Card:	VIDEO/Graphics – PCIE 256MB CARD, VGA/DVI ADAPTER, DUAL Monitor 128MB
Hard Drive:	160GB 7200 RPM SATA
Floppy Disk Drive:	None
Operating System:	Windows XP PRO
Mouse:	Dell USB 2 Button Optical Mouse with scroll
NIC:	Integrated 10/100/1000 Ethernet
CD-ROM or DVD-ROM Drive:	Optical Drive Combo CD-RW/DVD-ROM
Sound Card:	
Speakers:	Standard Dell

New Desktop Replacements

Optiplex GX760	
Base Unit:	OptiPlex 760 Small Form FactorBase Standard PSU (224-2219)
Processor:	OptiPlex 760,Core 2 Duo E8400/3.0GHz,6M,1333FSB (311-9513)
Memory:	2GB,Non-ECC,800MHz DDR2,2X1GB OptiPlex (311-7374)
Keyboard:	Dell USB Keyboard, No Hot Keys English,Black,Optiplex (330-1987)

Optiplex GX760	
Monitor:	No Monitor Selected, OptiPlex (320-3704)
Video Card:	256MB ATI RADEON HD 2400 Pro Single Monitor Graphics w/DVI and TV Out,Low Profile,Dell OptiPlex (320-5740)
Hard Drive:	160GB SATA 3.0Gb/s and 8MB Data Burst Cache, Dell OptiPlex (341-8007)
Floppy Disk Drive:	3.5 inch, 1.44MB, Slimline Floppy Drive,Dell OptiPlex Small Form Factor (341-4611)
Operating System:	Windows XP PRO SP3 with Windows Vista Business License English, Dell Optiplex (420-9570)
Mouse:	Dell USB 2 Button Optical Mouse with Scroll,Black OptiPlex (330-2733)
NIC:	Intel Standard Manageability Hardware Enabled Systems Management, Dell OptiPlex (330-2902)
CD-ROM or DVD-ROM Drive:	Roxio Creator Dell Edidion,9.0Dell OptiPlex (420-7963)
CD-ROM or DVD-ROM Drive:	Cyberlink Power DVD 8.1,with Media, Dell OptiPlex/Precision (420-9179)
CD-ROM or DVD-ROM Drive:	8X DVD+/-RW,Slimline,OptiPlex Small Form Factor (313-6092)
Sound Card:	Heat Sink, Mainstream, Dell Optiplex Small Form Factor (311-9520)
Speakers:	Dell AX210 two piece stereo Speakers (Black) for Latitude OptiPlex, Precision (313-6517)
Cable:	OptiPlex 760 Small Form Factor Standard Power Supply (330-1984)

Storage Area Network: CX4-480	
Base Unit	Dell/EMC CX4-480
System Cache	16 GB
Storage	Current: 28 TB raw storage Expansion Capability: Up to 216 TB raw storage
RAID Levels	RAID 0. 1. 1/0. 3.5. and 6
Number of Supported Hosts	Up to 256 SAN attached HA connected hosts
Connectivity	8Gbit Fiber Channel and 1 Gbit iSCSI

Documents in the following Appendices must be signed AFTER contract award and prior to the meeting of the Legislative Contract Oversight Committee Meeting:

- Appendix P: Contract Review Report for Submission to Oversight Committee
- Appendix Q: Immigration Status
- Appendix R: Letter Regarding Reporting to Ethics Commission
- Appendix S: Instructions for Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion
- Appendix T: Alabama interChange Interface Standards Document

The following represents an example of a contract:

Sample Contract

KNOW ALL MEN BY THESE PRESENTS, that the Alabama Medicaid Agency, an Agency of the State of Alabama, and the undersigned Contractor agree as follows:

Contractor shall furnish all labor, equipment, and materials and perform all of the work required under the Request for Proposal (RFP) Number 2011-XXX, dated XXXXX, 2010, strictly in accordance with the requirements thereof and Contractor's response thereto.

Contractor shall be compensated for performance under this contract in accordance with the provisions of Section 5.8 and the price provided on the RFP Cover Sheet.

This contract specifically incorporates by reference the said RFP, any attachments and amendments thereto, and Contractor's response, including all attachments.

CONTRACTOR

_____

_____
Date Signed

_____

_____
Title

ALABAMA MEDICAID AGENCY
This contract has been reviewed
for and is approved as to content.

_____
Commissioner

_____
Date Signed

This contract has been reviewed for Printed Name
legal form and complies with all
applicable laws, rules and regulations of
the State of Alabama governing these
matters.

_____
Medicaid Legal Counsel

APPROVED

_____

APPENDIX P: CONTRACT REVIEW REPORT FOR SUBMISSION TO OVERSIGHT COMMITTEE

Contract Review Permanent Legislative Oversight Committee
Alabama State House
Montgomery, Alabama 36130

C O N T R A C T R E V I E W R E P O R T
(Separate review report required for each contract)

Name of State Agency: Alabama Medicaid Agency

Name of Contractor: _____

_____ _____ _____

Contractor's Physical Street Address (No. P.O. Box) City State/Zip

Is Contractor Registered with Alabama Secretary of State to do Business as a Corporation in Alabama?
YES NO If Yes, in what State is Contractor Incorporated? _____
Is Act 2001-955 Disclosure Form Included with this Contract? YES NO _____ _____
Was a Lobbyist/Consultant Used to Secure this Contract? YES NO _____ _____
If Yes, Give Name: _____
Contract Number: _____

Contract/Amendment Total: _____

% of State Funds: % of Federal Funds: % Other Funds: ** _____ _____

**Please Specify source of Other Funds (Fees, Grants, etc.) _____

Date Contract Effective: Date Contract Ends: _____

Type of Contract: NEW: RENEWAL: AMENDMENT: _____

If renewal, was it originally Bid? Yes _____ No _____

If AMENDMENT, Complete A through C:

[A] Original contract total $_____

[B] Amended total prior to this amendment $_____

[C] Amended total after this amendment $_____

Was Contract secured through Bid Process? Yes ___ No ___ Was lowest Bid accepted? Yes ___ No____

Was Contract secured through RFP Process? Yes ____ No ____ Date RFP was awarded _____

Summary of Contract Services to be Provided:

_____

_____

Why Contract Necessary AND why this service cannot be performed by merit employee:

_____

_____

I certify that the above information is correct.

Signature of Agency Head _____ Signature of Contractor _____

Robert Church, Commissioner _____ _____

Printed Name Printed Name

Agency Contact: Mary Ann Fannin Phone: 242-5833

If this contract was not competitively Bid, explain why not:

_____

_____

If this contract was not competitively Bid because the contractor is a sole source provider, please explain who made the sole source determination and on what basis:

_____

_____

If contract was awarded by RFP, what process was used, was it competitive, how many vendors were contacted, and how many proposals were received:

_____

_____

If this contract was awarded by RFP, was it awarded to the person or company with the lowest monetary proposal? If not, explain why not:

_____

_____

If this contract was awarded by RFP, how and by whom were the proposals evaluated?

_____

_____

If this contract was not awarded through either Bid or RFP process, explain why not:

_____

_____

If this contract was not awarded through either Bid or RFP process, how was it awarded?

_____

_____

Did agency attempt to hire a State Employee? If so who from the State Personnel Department did you talk to?

_____

_____

How many additional contracts does contractor have with the State of Alabama and which agencies are they with?

_____

_____

_____

_____

Robert Church, Commissioner

APPENDIX Q: IMMIGRATION STATUS

IMMIGRATION STATUS

I hereby attest that all workers on this project are either citizens of the United States or are in a proper and legal immigration status that authorizes them to be employed for pay within the United States.

_____
Signature of Contractor

_____
Witness

APPENDIX R: LETTER REGARDING REPORTING TO ETHICS COMMISSION

Alabama Medicaid Agency

501 Dexter Avenue
P.O. Box 5624
Montgomery, Alabama 36103-5624

www.medicaid.alabama.gov
email: almedicaid@medicaid.alabama.gov
Telecommunication for the Deaf: 1-800-253-0799
334-242-5000 1-800-362-1704

BOB RILEY
Governor

CAROL H. STECKEL, MPH
Commissioner

January 1, 2007

MEMORANDUM

TO: All Persons Under Contract With the Agency and All Agency Staff

FROM: Robert Church
Commissioner

SUBJECT: Reporting to Ethics Commission by Persons Related to Agency Employees

Section 36-25-16(b) Code of Alabama (1975) provides that anyone who enters into a contract with a state agency for the sale of goods or services exceeding $7500 shall report to the State Ethics Commission the names of any adult child, parent, spouse, brother or sister employed by the agency.

Please review your situation for applicability of this statute. The address of the Alabama Ethics Commission is:

100 North Union Street
RSA Union Bldg.
Montgomery, Alabama 36104

A copy of the statute is reproduced below for your information. If you have any questions, please feel free to contact Bill Butler, Agency General Counsel, at 242-5741.

Section 36-25-16. Reports by persons who are related to public officials or public employees and who represent persons before regulatory body or contract with state.

(a) When any citizen of the state or business with which he or she is associated represents for a fee any person before a regulatory body of the executive branch, he or she shall report to the commission the name of any adult child, parent, spouse, brother, or sister who is a public official or a public employee of that regulatory body of the executive branch.
(b) When any citizen of the State or business with which the person is associated enters into a contract for the sale of goods or services to the State of Alabama or any of its agencies or any county or municipality and any of their respective agencies in amounts exceeding seven thousand five hundred dollars ($7500) he or she shall report to the commission the names of any adult child, parent, spouse, brother, or sister who is a public official or public employee of the agency or department with whom the contract is made.

(c) This section shall not apply to any contract for the sale of goods or services awarded through a process of public notice and competitive bidding.

(d) Each regulatory body of the executive branch, or any agency of the State of Alabama shall be responsible for notifying citizens affected by this chapter of the requirements of this section. (Acts 1973, No. 1056, p. 1699, §17; Acts 1975, No. 130, §1; Acts 1995, No. 95-194, p. 269, §1.)

Our Mission - to provide an efficient and effective system of financing health care for our beneficiaries.

APPENDIX S: INSTRUCTIONS FOR CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION

Instructions for Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion

(Derived from Appendix B to 45 CFR Part 76--Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transactions)

1. By signing and submitting this contract, the prospective lower tier participant is providing the certification set out therein.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this contract was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the Alabama Medicaid Agency (the Agency) may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the Agency if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances.
4. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, and voluntarily excluded, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this contract is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this contract that, should the contract be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this contract that it will include this certification clause without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred,

ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the Agency may pursue available remedies, including suspension and/or debarment.

APPENDIX T: RFP PROPOSAL SHEET

ALABAMA MEDICAID AGENCY

REQUEST FOR PROPOSALS

RFP Number:	**RFP Title:**
RFP Due Date and Time:	**Number of Pages:**
PROCUREMENT INFORMATION	
Project Director:	**Issue Date:**
Phone: **Email Address:** **Web site: http://www.medicaid.alabama.gov**	**Issuing Division:**
INSTRUCTIONS TO VENDORS	
Return Proposal to: ***Alabama Medicaid Agency*** **Lurleen B. Wallace Building** **501 Dexter Avenue** **PO Box 5624** ***Montgomery, AL 36103-5624***	**Mark Face of Envelope/Package:** *RFP Number:* **RFP Due Date:** **Firm and Fixed Price for Contract**
VENDOR INFORMATION ***(Vendor must complete the following and return with RFP response)***	
Vendor Name/Address:	Authorized Vendor Signatory: (Please print name and sign in ink)
Vendor Phone Number:	Vendor FAX Number:
Vendor Federal I.D. Number:	Vendor Email Address:

APPENDIX U – ALABAMA MEDICAID SHAREPOINT SOLUTION ARCHITECTURE AND DESIGN[NF51]

See attached.

Alabama Medicaid Agency
Medicaid

Alabama Medicaid
SharePoint Solution Architecture and Design

Revision History

Revision Number	Revision Date	Summary of Changes	Revised By:
0.1	Sept 18, 2010	First Draft	David M. Sterling
0.2	Sept 21, 2010	Second Draft	David M. Sterling
1.0	Jan 28, 2011	Final – All content reviewed against/with KnowledgeLake Architecture; update to Migration processes	David M. Sterling
1.1	Jan 31, 2011	Re-write Section 2.0 Functional Requirements > Provide a Migration Platform	Phil Bartholomew
1.2	Feb 18, 2011	2 Farms; 1 for collaboration and another for Recipient sub-system	David M. Sterling

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Background

As an organization, Alabama Medicaid provides the management and distribution services for Medicaid across the State. This includes 10 district offices and roughly 200 individuals that work within other agencies, hospitals, etc. Within this same structure, the agency supports the SOBRA (Pregnant Women and Children support) program served within the same offices however that program's districts (there are also 10) have different boundaries of coverage. Operationally, the agency handles case work from the point of application through administration of the processing, case management, follow ups and claims processing.

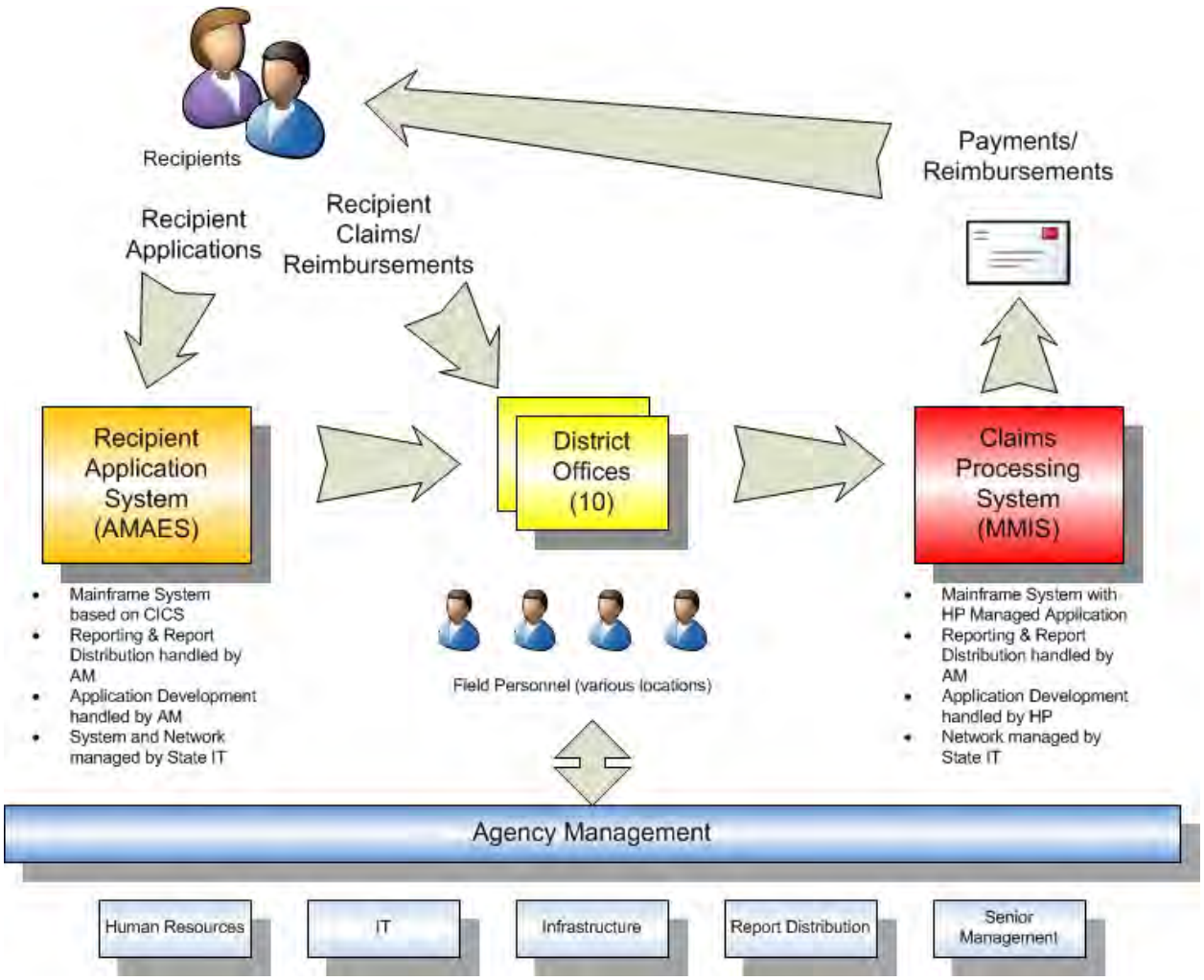
The agency is dependent on two primary mainframe systems – the Recipient Application System (AMAES) and the Claims Processing System (MMIS). The AMAES system is managed physically by the State services; the agency IT group is responsible for and maintains day to day operational needs (report distribution, etc.) and program updates/enhancement. They also handle programming, management and support of additional desktop based applications used within the agency to include the databases, systems, virtual servers and storage used by those applications. MMIS is a hosted service that does not require agency support.

Physically, the district offices are located throughout the state with individuals in other offices usually tied to a specific district. In addition to one of the district offices, the agencies senior management, HR and IT functional areas operate from the Montgomery offices. Systems and hardware used for the primary systems are housed in a data center a few blocks from the Montgomery office with backup/offsite storage in a data center in Huntsville. The data centers used for the mainframe systems as well as the network operations are managed by the state.

The volume of workflow of the organization is in the processing of recipient applications. Applications received by mail, the web or through a district office establishes a recipient case ID using the AMAES system and start a paper-based file. Case workers review applications for eligibility and guide recipients through the approval process to include collecting additional documentation required. Once a case is established, case workers work with eligible recipients as needed for the filing of claims, applications for additional programs, etc. Benefit payment and reimbursement claims are handled (via data entry) through the MMIS system, a hosted system and software package managed by Hewlett-Packard. Case files and the supporting documentation are maintained by the case worker and randomly reviewed internally to ensure general compliance and accuracy.

The agency management and departments provide the internal support of the field operation to include Human Resources, Infrastructure, etc. This includes providing operational systems support for the mainframe systems, office equipment (PC's, Laptops), end user training and procedural implementations.

A conceptual view of the organization and base workflow is as follows:



The Need for New Solutions

In 2009, the agency formed a team to evaluate the current operations architecture and to launch a project initiative to determine ways improve the systems and processes across the entire organization and to evaluate utilizing newer technologies to provide more efficient solutions to the agency's needs. During the review of both the automated and manual processes currently in place, the project team was able to identify several areas in need of improvement as well as some that will provide significant cost savings while increasing service capabilities.

On the process side, the review found that the agency is heavily taxed with paper management. In the servicing of nearly 1.25 million recipients, there is an extensive paper trail in the application process with supporting documents, tax returns, medical bills, etc. which is increased as a recipient submits payment claims and other services. As a starting point, the typical application includes 10-50 additional pieces of paper and it is estimated that the agency handles some 400,000 documents a day. All of the paper involved requires manual handling and an ever increasing amount of storage space both within the offices for active cases and long term storage of case file documents that require a seven year retention period.

On the functionality side, the review found there is clearly a need to upgrade the technologies in use. The AMAES system is mainframe based and is nearly 30 years old and itself generates a massive amount of paper-based reporting. The system itself still utilizes 'green screen' (text based) technology requiring dated software to support it. Internal 'office' related operations heavily leverage shared network storage; since this kind of storage is unstructured, it cannot be adequately searched and there is an excessive amount of duplication and a large amount of information that can be deleted or archived.

The Project

The result of the internal review by the agency established a project to address the issues found taking into consideration resources and tools in use (this included the current use of Microsoft Office SharePoint Server 2007; used by the home office departments for collaboration (calendars, etc.) and document storage).

General requirements were defined outlining a centralized web-based application that would serve to tie the agency functions (and offices) together and to address the common issue within all aspects of the agency revolves around document storage and retention.

Having reviewed the available systems on the market and in use in other agencies, a close fit was found that was built by the State of Oklahoma. In comparing features provided by that system, the team determined that most of the project requirements and the features offered by that system closely match the features provided by Microsoft SharePoint, something the agency is already familiar with.

The final solution derived by the team for providing both document management and collaborative features is to use a combination of Microsoft's SharePoint Server 2010 coupled KnowledgeLake Corporation's scanning systems and software.

The overall solution incorporates the following key components:

> ***SharePoint Server 2010*** – SharePoint provides the web based collaboration and application tools needed to support all parts of the agency operations (district offices, internal management, HR, IT and compliance). Out of the box it provides for site management, content management, document storage, document retention, workflow processing, approval and security management, etc.
>
> ***KnowledgeLake*** – KnowledgeLake is a stand-alone scanning/storage solution that is an 'add-on' to SharePoint that enables scanned documents to be stored within SharePoint's database and provides storage, document viewers and search capabilities through SharePoint sites.

The overall project is intended to accomplish three specific functions within the organization. The first is to provide a paperless management system with the intent to eliminate most of the manual paper storage handled today, the second is to migrate the current SharePoint 2007 system into the new architecture and third (and longer term) is to replace the current Recipient Management system (AMAES).

This document specifically covers the first phase of the overall project dubbed “MECMS”. This covers the deployment of the SharePoint infrastructure to support the implementation of the KnowledgeLake scanning & document management system and to provide a plan for the migration from the existing 2007 environment onto the 2010 platform.

The scope of the recommended information architecture and governance is intended to address the foundation required for all three purposes however, the systems architecture is limited to the initial deployment of SharePoint technologies to support KnowledgeLake’s functionality and provide a migration platform for the existing SharePoint 2007 sites.

Direct implementation of KnowledgeLake’s system is not covered in this document. KL’s deployment and integration involves multiple components that include servers and functional servers within the field offices (along with scanners, etc.). KL will provide the ‘overlay’ after they have completed their design.

Functional Requirements

The primary purpose of the MECMS system for the initial release is specifically to provide document scanning, storage and search capabilities within all of the district offices (after a pilot program). Because of this, the overall design and architecture of the SharePoint system is heavily based on the KnowledgeLake tools vs. SharePoint.

The KL system is based on equipment and software that is standalone; that is, it is completely separate from SharePoint and in fact, does not need SharePoint to operate. The integration connection between the products is in two parts. First, KL uses SharePoint’s database to store information (metadata), scanned images and data used for search (indexing). Secondly, KL provides “web parts”[1] that are installed within SharePoint that provide search and viewer tools for the end users.

It is important to understand that SharePoint and KnowledgeLake operate somewhat independently. SharePoint provides the web site and controls user access; KL’s tools (the search center and web parts) are installed alongside SharePoint. This is true for all parts of the functionality – for example, SharePoint Search is not used to search KL’s document storage, instead KL provides its own ‘Search Center’. Since all users use the same Search Center for KL, additional SharePoint functionality is not a requirement.

From a functional perspective, the KL tools will be the primary focus of the agency usage of SharePoint for some time. The SharePoint functionality will be limited to provide an entry way into the KL tools and to enable the agency to migrate up from the existing SharePoint installation.

[1] Web Parts are components that provide specific functionality within a web site page; for example, displaying the current time and weather. Sites like MSN.com make extensive use of these.

The primary requirements for the MECMS system as the first phase of the overall project effort are as follows:

- Act as a web-based gateway to document storage and search
- Provide security, access control and retention
- Provide a migration platform for the existing SharePoint 2007 sites
- Provide the platform for future development to replace the AMAES system

Each of these requirements is explained in more detail below.

Act as a web-based gateway to documents
SharePoint provides a web-based interface that will be easy for users to navigate and access. For the districts, this will be based on providing merely an entry way into the KL search center. It will enable some 'collaboration' between the agency offices and the districts (HR might provide a 'job page' or similar). As recommended, the system will easily support collaboration within the districts (or between district offices) since it will be a logical next step, however that level of usage is outside of the scope of this document.

Provide security and access control
In the present environment, security of documents is a physical issue and will continue to be until scanned. On the physical aspect, new procedures must be devised in the management of documents after scanning. For scanned documents, a web based system provides end users with wider access to more data by design. While this will allow for sharing when necessary, SharePoint must be configured to provide line item level security to ensure that individual documents can be protected.

Provide a migration platform
The existing SharePoint 2007 applications and sites are loosely developed and consist of mainly team sites. The current farm is integrated with Team Foundation Services (TFS) and content deployment is used for a main Intranet portal site. Audiences and search services are utilized for the Extranet and Intranet environments. The extranet environment is not yet been made available to the outside world. Document versioning, lists, and basic workflow are highly utilized features. Multiple content databases are leveraged for improved performance. MySites have been rolled out to a subset of Alabama Medicaid employees.

Note: While KnowledgeLake uses SharePoint storage, it must have full control over the database. To accommodate this, the general structure of the system will use multiple web applications and site collections. This provides complete separation of the data and enables the functions to be split if performance suffers.

Provide the platform for future development
SharePoint 2010 provides considerable functionality out of the box to include site and user management, content management, document storage, etc. However, one of SharePoint's best aspects is that it is an easily extensible development platform that enables application developers to leverage SharePoint to quickly and easily add new features. For the agency, SharePoint is intended to realize the longer term goal of replacing the mainframe AMAES system – this will mean actual development of the functionality to replace what AMAES does in terms of assigning new Recipient ID's, etc. The recommended architecture for the initial deployment is intended to support this development effort and to accommodate the expected

usage. Note: replacement of the AMAES system is longer term and has not been defined at this time.

Feature Function Matrix

The definition of the agency's functional requirements is based on the supporting needs of the KnowledgeLake tools, current usage of SharePoint and expected usage to support the new platform. The requirements have been summarized based on a Risk Assessment of the project that included detailed reviews with the current project goals and expectations, individual interviews with functional areas and a review of the current usage of SharePoint 2007.

Note that the scope of these requirements is specifically on the SharePoint collaboration and the entry way functionality for access to KnowledgeLake's tools; they do not cover KnowledgeLake's specific functionality.

Functional Area	Requirement	Details	Necessary for implementation
agency and Department Communications	Broadcast messages and events to all users	Need the ability to 'broadcast' messages to all users or selected groups of users to help replace email dependency and to make use of District Landing Pages (as covered in the Information Architecture)	Yes
	Create alerts on calendar based events	Ideal to allow users to have self-service notification ability to be reminded of events automatically.	No
	Provide Centralized Announcements and Calendars	Provide enterprise level announcements and calendars managed centrally (read only to the general user base); the target of this content would be the MECMS Landing Page (as covered in the Information Architecture).	No
	Media presentation	Provide the ability to store and display various forms of media (Pictures, Video, etc.).	No
	Surveys	Ability to provide and display end user surveys; ideal for tracking of training programs, audits, etc.	No
Content Management	Publishing Content	Need the ability to easily create content based pages utilizing both images and text.	No
	Bi-Lingual Content	Need the ability to provide for bi-lingual content.	Yes
	List based	Must be able to store list	Yes

	information	based information, i.e. contact lists, link lists,	
	Content Classification	All content must be easily classified to conform to the new standards (metadata). Classifications must be easily modified and added if needed.	Yes
	Expiration	Content should be enabled to have publication start and end dates.	Yes
	Content Monitoring	Must provide the means to monitor content to determine if inappropriate or incorrectly classified.	Yes
	Tracking	Must be able to track content items by date created and date modified.	Yes
	Approval Processing	Must be able to secure content with approval processing to prevent publication without review.	Yes
	Versioning	Must provide for version control of all published content and ability to 'revert' to prior versions.	Yes
Document Management	Store documents as secured	Need the ability to store documents with multiple levels of security from general to highly secure.	Yes
	Versioning	Must provide the ability to 'version' documents during work in process.	Yes
	Purging	Must provide the ability to purge documents (and versions) on a demand basis.	No
	Expiration	Documents should be enabled to have effective start and end dates.	Yes
	Document profiles	Need the ability to define various document 'types' or profiles to facilitate organization and search. This will include the ability to create common profiles for all documents as well as specialized types.	Yes
	Document Work flows	Need to be able to establish general workflows on	Yes

		documents to include serial, parallel and external work flows.	
	Permanent Records	Must be able to store documents as permanent records with specified retention periods.	No
	Monitoring	Need ability to monitor and report on the number of and storage taken by documents by individual site.	Yes
Search	Enterprise Level Search	Need the ability to search all SharePoint content.	Yes
	Ability to search document contents	Need the ability to search all document types for the actual content and provide weighted results; this includes standard Office document types but also includes Adobe PDF documents.	Yes
	Ability to search document profiles	Need the ability to search documents by their profiles and provide weighted results.	Yes
Web Site Management	Publishing Sites	Must provide a common site structure for the use of common user sites in which broad-based content is available.	Yes
	Group Sites	Must provide the ability to create dedicated sites for the purposes of group usage, collaboration efforts, document repositories, meeting management and project management.	No
	Personal Sites	Enable the ability for users to have 'personal' sites that enable storage of personal documents and other content.	No
	Monitoring and Control	Must provide the ability to monitor web sites based on use and storage.	Yes
	Quotas	Must provide the ability to control site growth (storage) based on rules based quotas.	Yes
Workflows	IT Service Request	Must provide the ability for users to request services from the IT group to be routed via workflow to create a	

		Request task for IT.	
	Content and document approval	Need to enable content/document approval (with designated approval groups).	Yes
Security	Role based security by content and site	Must be able to manage user access to content, sites and actions by roles.	Yes
	Item level security	Must be able to secure individual items (documents, etc.).	Yes

How SharePoint Fits the agency's Requirements

First and foremost, the intention of the MECMS system is to help move the agency to a 'paperless' environment, specifically in the District Offices. KnowledgeLake's tools specifically address that need and, through SharePoint, provide all of the components required. On the collaboration side, the agency already uses SharePoint 2007 in a limited fashion.

Aside from the document management, the review with all of the various departments, Risk Analysis and the overall document management project discovered several common requirements on the collaboration side. These can be summarized into the following categories:

Document Control/Storage – The entire agency needs internal document control to include versioning and 'line item' access control. This is currently manual with physical paper stored in file cabinets and documents stored in network file shares (some is already in SharePoint 2007).

Search – Search capability is limited to using Windows Desktop file search for network file shares; SharePoint 2007 search of documents stored in it is better but limited without consistent metadata.

Content Organization/Duplication – Most content passed around the agency is email based which provides no means of organization and makes follow up difficult. In addition, there is duplication across the board since documents are copied or emailed.

Workflow (approvals) – All approval processing is currently done via manual steps using email.

Workflow (process) – All processes are procedural without automated workflow.

Notification – There is no easy way to provide important notifications to any one group or individual other than blast email.

Soft requirements include:

- Ability to communicate to everyone
- Automation of manual processes
- Automation of form-based services

The tools provided by SharePoint can be directly mapped to the collaboration requirements and challenges in the agency:

- **Document Control** – With document storage, line item security, versioning, approval workflow and alerts, SharePoint can provide all of the elements needed for excellent document control. For the agency it is clearly sufficient for replacement of the network storage in use – overall, it will reduce storage costs, reduce recoveries (SharePoint allows recovery of deleted items for up to 30 days), simplifies backup (all content is stored in the database) and

from the user perspective, answers all of the needs each group relayed. In addition, advancements in the 2010 version over 2007 provide better control and auditing capabilities providing better compliance.

- **Search** – SharePoint provides Enterprise Level Search – that is, the ability to search SharePoint Sites, web sites and file systems uniformly. Using "Search Scopes" and the Advanced capabilities (granular search by keywords, author, dates, etc.), users can easily find what they are looking for. The 'security trimming' (blocking items a user should not see) is handled within the SharePoint security context automatically.

- **Content Organization/Duplication** – SharePoint's general premise is 'one copy, one location' for content and documents. In general, references to content and documents throughout the sites are done by link. This means that to share something is to provide a link to it instead of emailing a copy. In addition, one of the standard web parts is for "Content Query" to allow a list or library to be viewed from any site; the original content remaining where it is. Overall this will reduce clutter, cut down storage, help on network traffic and help end users avoid having to manage multiple copies.

- **Workflow (approvals)** – Basic approval processing is an out of the box feature in SharePoint and should provide everything necessary for handling approvals and tracking for general use to include posting of content.

- **Workflow (process)** – General workflow processing can be greatly enhanced using SharePoint workflows both from those out of the box and those that can be created using SharePoint Designer. An example workflow could be a new policy or policy change in which multiple people must review and others required to approve. This type of developed functionality will likely not be used for the initial phase.

- **Notification** – SharePoint provides several methods of user generated and automated notifications and alerts. Users can make use of internal distribution groups for global notifications and automated tasks and alerts can be used to keep users updated on changes. As well, the out of the box 'Announcements' list and list view web part provide the ability to schedule and display events, updates, etc.

- **Ability to communicate to everyone** – As a collaboration tool, SharePoint provides a few kinds of 'global' communications that are available to all users of the site. The first is through content and news feeds; another is individual alerts (email notifications) and another is via SharePoint distribution lists that

can be used to create targeted notifications. Actual content can be communicated using the "Email this to" feature provided by SharePoint libraries and lists.

- **Automation of manual processes** – The standard workflows provided with SharePoint and those that can be built using SharePoint Designer can provide most if not all of what agency would need for converting manual processes into workflows. In SharePoint 2010, created workflows can be shared across all sites enabling the agency to set standards to meet policy and procedure requirements. As mentioned, this type of developed functionality will likely not be used for the initial phase.

- **Automation of form-based services** – While KnowledgeLake's solution will address the agency's forms and paperwork, SharePoint will provide the ability to adopt 'form-based' services to replace existing manual processes using InfoPath. Provided as a service, it does not require software on the client machine. The forms themselves are much like a PDF file – a new one can be created, data entered and saved as a complete unit (form and data both) as a document in a SharePoint Library.

Recommendation on Requirements not met by the Platform

In the review of the Risk Analysis findings, there are a few needs that the SharePoint-KnowledgeLake solution cannot address and alternatives considered:

System Monitoring

Monitoring of the SharePoint farm and SQL Servers will be a new mission critical task for the IT and infrastructure team. As such, they will need to have specific tools for monitoring the system health and operation over and above SharePoint's 'health checker'.

It is recommended that System Center Operations Manager (SCOM) from Microsoft be used since SCOM is 'product aware' of SQL and SharePoint and provides the most accurate monitoring. Note SCOM does not replace System Center Configuration Manager (SCCM), SCOM is a complimentary tool that works with SCCM.

http://technet.microsoft.com/en-us/systemcenter/om/default.aspx

Backup and Recovery

The level of backup and recovery needed for MECMS will not satisfied by the current tools available and an alternative must be considered. SharePoint 2010 does provide a rudimentary backup and restore utility that can be used for incremental and whole farm backups. However, this provides limited 'granularity' in what can be backed up and restored individually. In the current environment (2007), the agency is using Quest

Software's backup tools, primarily for backing up the SQL server databases however this will not sufficient for the volume the MECMS system will be handling.

As mentioned in the Disaster Recovery section, it is recommended that the agency obtains and utilize the AvePoint DocAve product and the DocAve Extender needed for Remote BLOB Storage (RBS). AvePoint's DocAve was designed around SharePoint and the first to provide a very granular approach to the backups allowing even single document recovery. Due to the volume and depth of storage expected, locating and retrieving deleted items must be a very simple process. Note that DocAve is a 'complete' backup solution that covers both SharePoint and file system backup and restore.

http://www.avepoint.com

Document Review/Notation

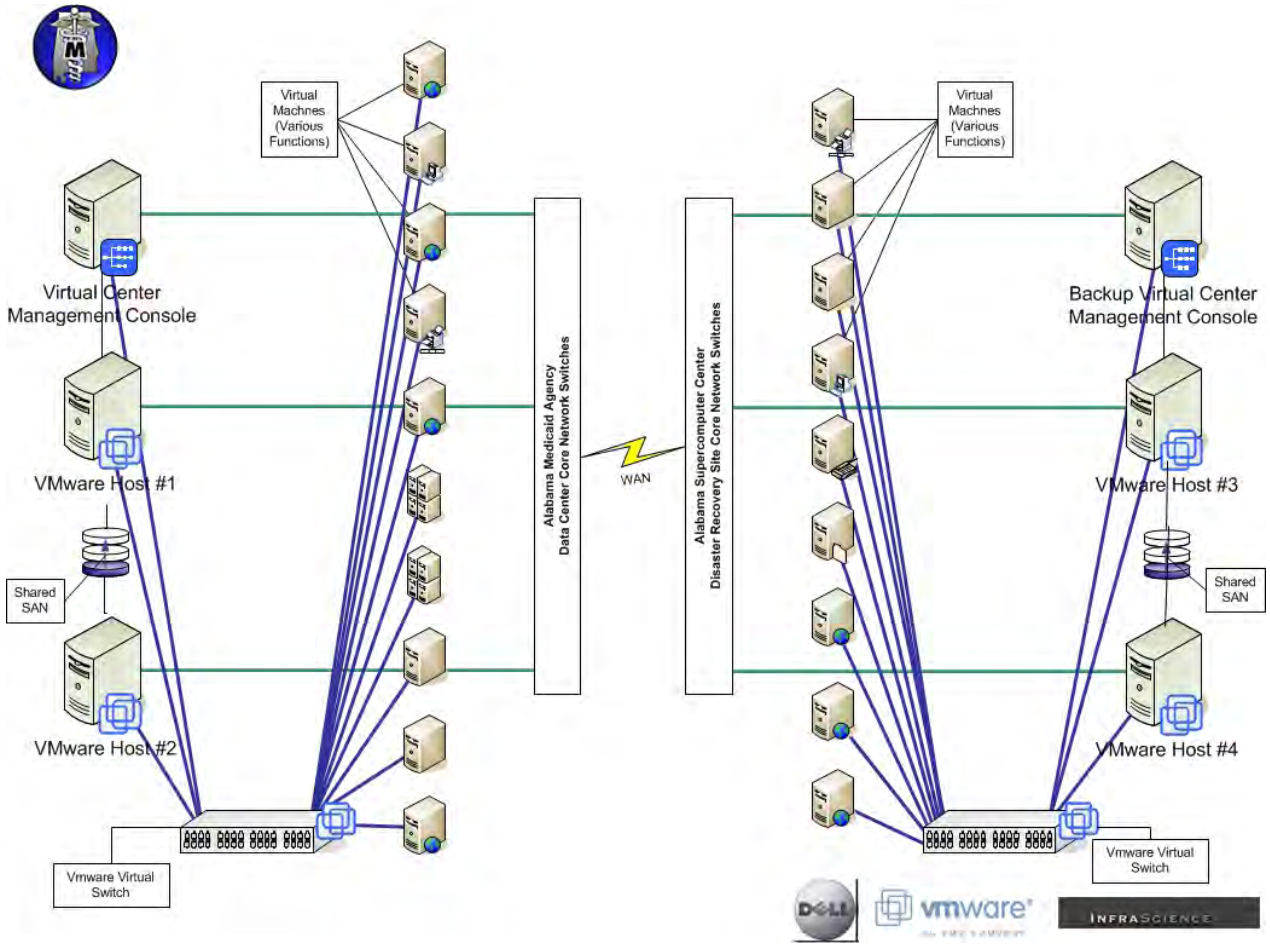
Currently, review and notation of documents is either manual or using default tools within Microsoft Office. However, with the conversion of physical documents to scanned images, such notation will not be possible. KnowledgeLake provides a tool for this purpose but it must be deployed to collaboration sites for general usage.

Document Conversions

KnowledgeLake provides a PDF converter for standard documents. Office documents such as those used in collaboration can utilize the standard Microsoft Office File Converters (PDF, Text, etc.). There are no additional file types that need to be supported.

Recommended Hardware Configuration

To support SharePoint and KnowledgeLake, the hardware configuration is a combination of virtualized servers. This will allow for easy expansion if any bottlenecks in performance become evident.



Note that the above has already been purchased so system specifications are not included here.

Recommended SharePoint Server Configuration

To support a mission critical environment, the recommended SharePoint Server configuration is based on Microsoft's "Large Farm" specification. The design of the server farm is specifically geared towards maximum up time and availability while providing a fault tolerant operation.

SharePoint 2010 uses a 'Service Oriented Architecture' (SOA) which enables services and operations to communicate securely using web service and them to be segmented on to specific servers. The architecture can be expanded to provide additional bandwidth or to increase performance if necessary.

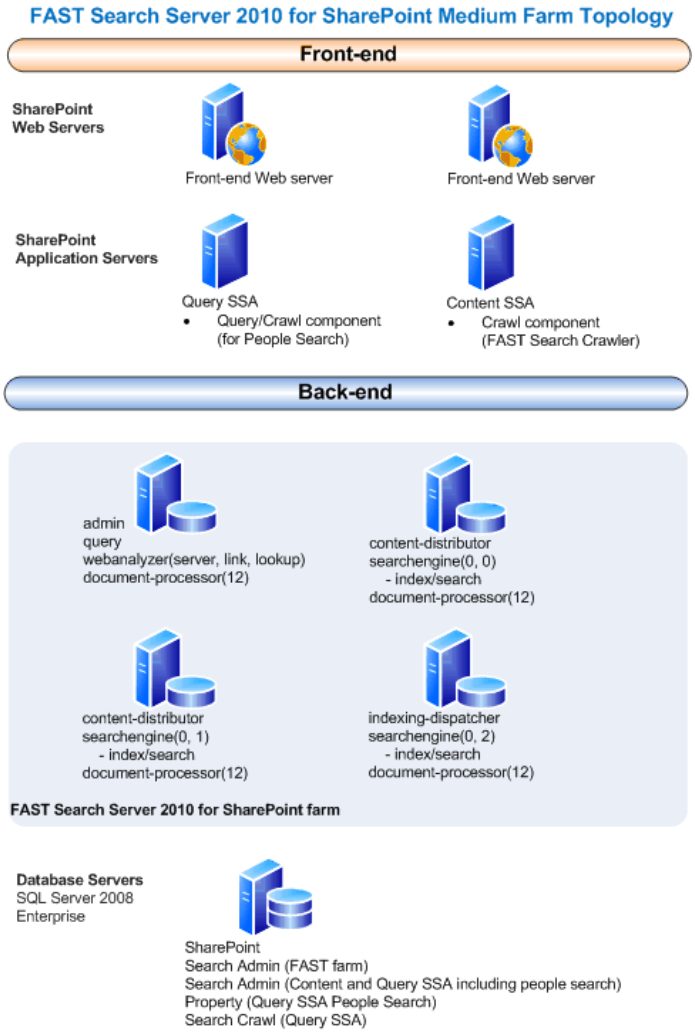
These recommendations are based on conceptual models that represent the roles of servers/functions within the architecture for the base functionality. Capacity needed for actual storage and search requirements will be presented within the physical architecture developed based on actual capacity, system and storage limitations.

The architecture consists of the following virtualized servers:

> *Note: This configuration is the required server setup to support SharePoint and the KnowledgeLake base servers; KnowledgeLake may need to add additional servers or modify this configuration to suit.*

Web Front Ends (WFE)
The web front ends are the responders to web based requests. Setup using a network load balancer, the servers act as a go between to SharePoint and the end user processing requests and delivering site pages. A minimum of two servers are required but can be expanded up to 64. Additional WFE's can be easily added at any time to increase capacity. WFE's can also be removed from a farm if necessary for maintenance or even replacement without interruption to the farm operations. Note that WFE's will also provide the query server role for user queries.

Search Servers
Based on the needs and volume, use of the FAST Search Engine is recommended over the SharePoint Enterprise Search. SharePoint's enterprise search can be scaled out to support 20 applications and each application can support up to 10 crawl databases however, Microsoft recommends no more than 25 million items per crawl database (a total of four). FAST is a dedicated search engine that can be used to crawl any content and is optimized for that specific functionality. Based on the number of items expected to be stored within the agency, the FAST product will increase the limit to 40 million expandable to 100 million. In addition, search will be vital in the day to day operations – the performance and accuracy will be critical to the systems functionality; FAST's performance is considerably better than SharePoint's search features. The FAST "medium" farm deployment (4 dedicated servers) supports up to 40 million items, indexes between 100-250 items per second and can support 15-25 queries per second. The FAST "large" farm deployment includes 7 dedicated servers, up to 100 million items with the same performance. The basic configuration for FAST with 2010 is as follows:



Note: The above configuration would be considered minimum for deployment as has been specified in the diagram that follows. Due to the nature of the indexing within libraries, it will be necessary for this configuration to be designed for supporting the KnowledgeLake storage – that will provide more than enough cover for collaboration usage.

Service Application Servers

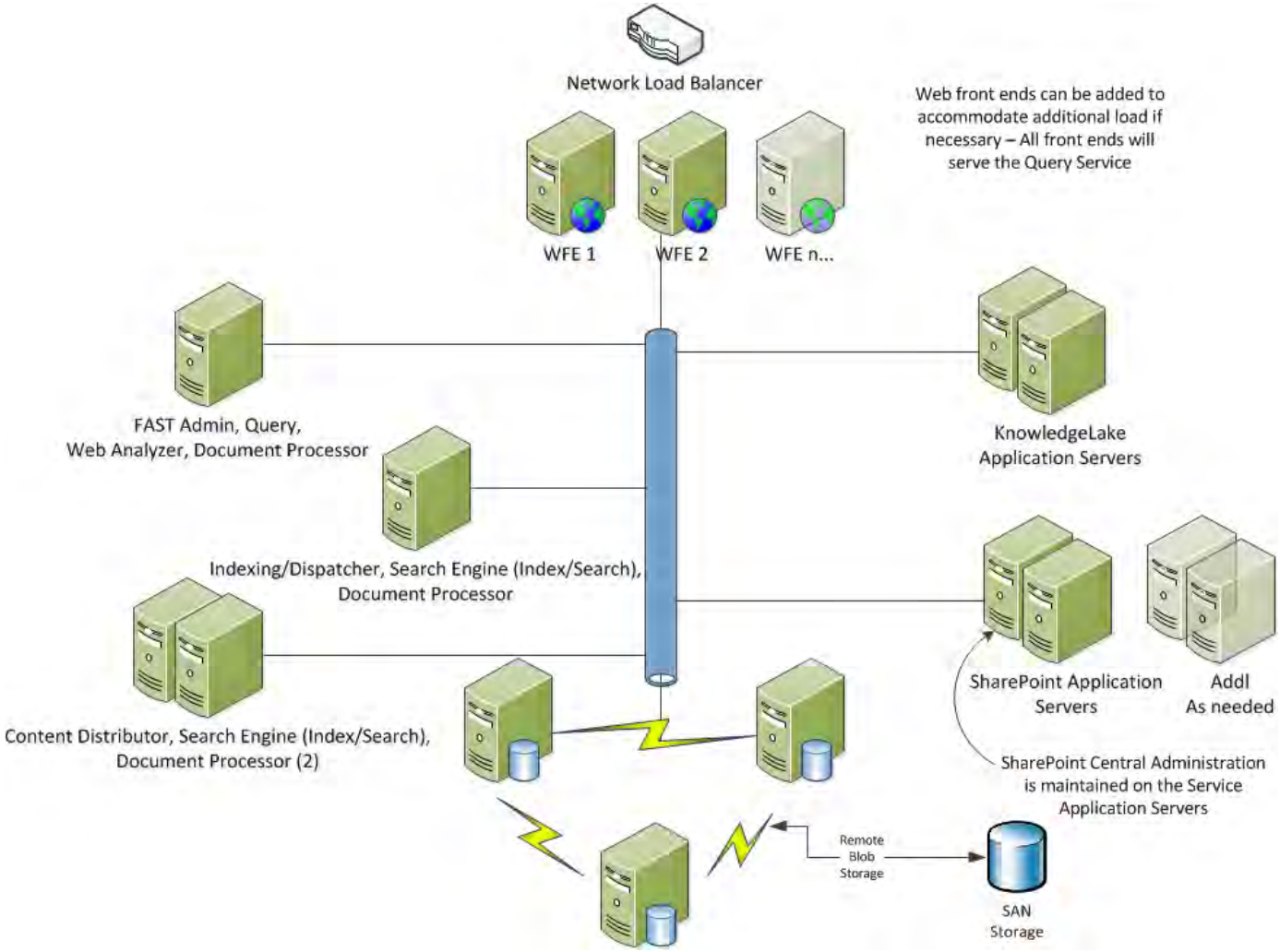
These servers handle SharePoint's server applications to include InfoPath Form services, Excel services, etc. While these individual services can be located on different servers, the volume of the agency's use of these services will be minimal enabling them to be grouped together. Should performance in any of these services suffer, they can be split off to a dedicated server at any time.

KnowledgeLake Application Servers
The KL application servers handle the document upload process and management of the documents within the SharePoint database. These also provide the user services for the KL Search Center and document viewers.

SQL Servers
The database servers are setup in a SQL Mirroring environment as principal, mirror and witness using RBS (Remote BLOB Storage). These provide the primary database services for both SharePoint and KnowledgeLake; KL specifically uses the RBS storage to expand the capacity of individual SharePoint Libraries used for storage (these libraries are not intended to be used with the standard SharePoint user interface). Based on the agency's need, the SQL instance will feature databases for each site collection allowing separation of collaboration storage and document management storage (KL's content database will be dedicated to document management only). RBS will use SAN Storage for the actual storage of scanned documents; SharePoint will only store the associated metadata.

Note: The above configuration covers the operational/production farm only. While all features support redundancy, it can support only localized backup and restore and does not support disaster recovery. Backup procedures for DR and offsite storage will require inclusion of the SAN storage used by RBS.

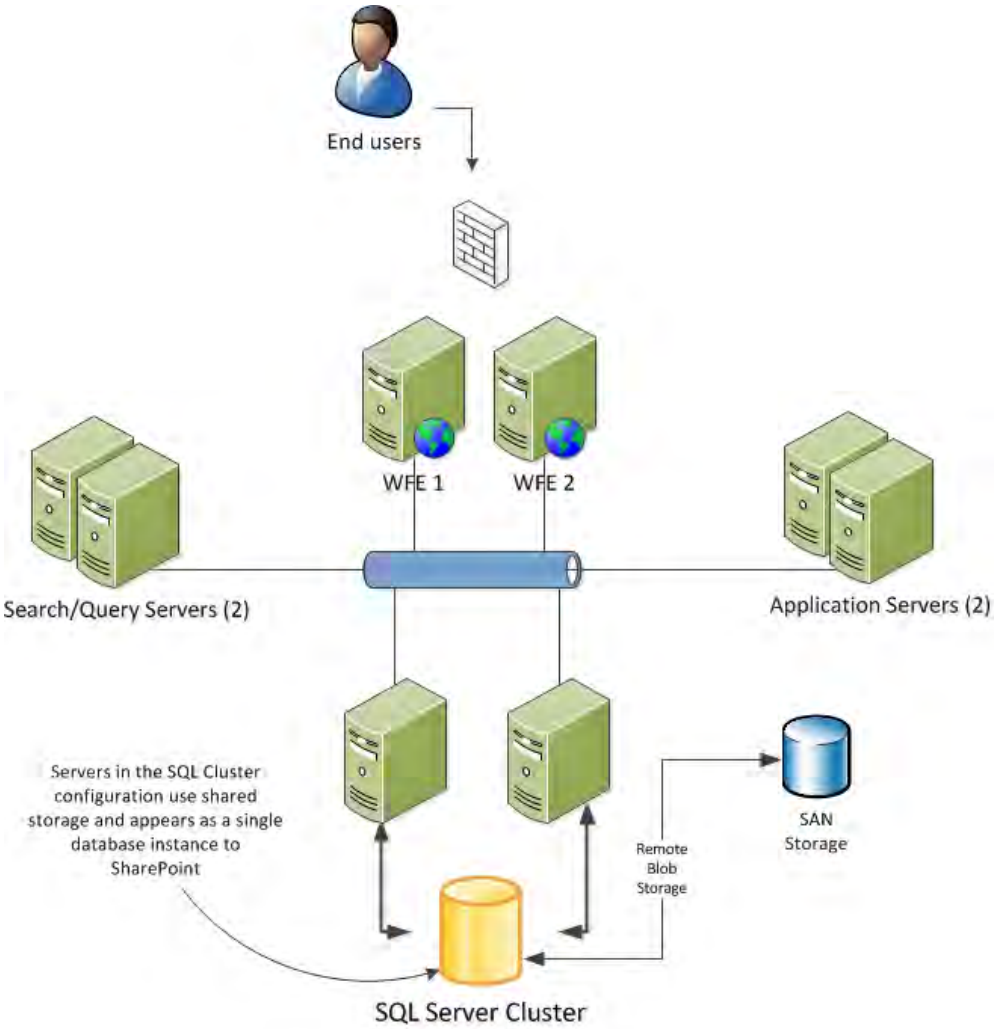
Server Layout



System Configuration

The overall mission of the new system is to provide a complete scanning, storage and search system and secondarily to replace the existing 2007 collaboration site. Under the consideration of the volume and critical nature of the district office operations, it is recommended that the collaboration function remain on its own farm to avoid co-mingling the usage. While maintaining two farms has cost, support and licensing considerations, separate farms allow for a clean division in usage and operations (support, management) and also provide for future growth in collaboration activities (to be later spread to the district offices). In addition, cross linking within the two SharePoint farms will provide end users with a 'seamless experience' (appearing as if a single site).

At present, the collaboration environment is not 'mission critical' nor does it require high availability – the current hardware configuration will be sufficient to support a direct upgrade to 2010. The existing production farm is a "Medium Farm" configuration which provides some redundancy, load balancing and enterprise search and will remain as is (use of SQL Mirroring/RBS is not necessary):



Disaster Recovery

Based on the findings of the Risk Assessment, a disaster recovery plan for MECMS cannot be fully formulated. While the current location in Huntsville is used to secure database and file backups, that location is not sufficient to support true disaster recovery.

To properly support the specified server configuration for disaster recovery and failover will require an identical server setup in the DR location. Typical backup processing will continue however to provide complete failover will require dual mirroring.

While the collaboration farm will not be mission critical, it must still have appropriate DR planning in place.

Recommendations on Disaster Recovery

Due to the volume and control required for backup processing, it is highly suggested that the agency obtain and utilize the AvePoint DocAve product to support both backup/restore and disaster recovery for several reasons:

1) It is completely "SharePoint Aware" and provides a well-designed user interface that provides quick restore of lost or deleted items and sites
2) It provides extensive tools for management of backups and SQL backups
3) It is designed to support RBS SQL Storage as recommended
4) It will provide a solid platform for disaster recovery with incremental restoration capabilities (preventing the need for full DR for semi-minor outages) and a reverse restore when the primary site is recovered

Recommended SQL Server Configuration

As a mission critical system, it will be absolutely necessary to provide for high availability to minimize any outages or downtime. As likely the most vital component of the system, SQL Server must be configured to utilize one of the high availability methods prescribed by Microsoft.

For the KnowledgeLake Scanning and Storage solution, the two recommended options are to use either SQL Clustering or SQL Mirroring (mirroring being the preferred method). Both of these methods are supported for a SharePoint environment but have different benefits and licensing requirements.

SQL Failover Clustering provides support for a single instance of SQL Server (one instance is all that is required for SharePoint). Using one or more 'nodes' (servers) and two or more shared disks, the 'instance' appears as a single server. In this setup, one node is active and the other acts as a secondary 'hot spare' (passive). In the event of a failure, the passive server replaces (swaps roles with) the active server without disruption. SharePoint references the cluster (not a particular node) and supports any combination of active and passive nodes configured within SQL Server.

SQL Server high-availability mirroring is a newer technology that creates redundancy on per-database level (vs. an instance in a cluster). Using this method, transactions (updates, etc.) are sent to the 'principal' database and a 'mirror' database when the transaction is processed. While not instantaneous, the mirrored database is usually nearly identical to the principal. Using this method with SharePoint requires using "high-availability mirroring" or "high-safety mode with automatic failover". In this scenario, there are three servers involved in the process instead of two:

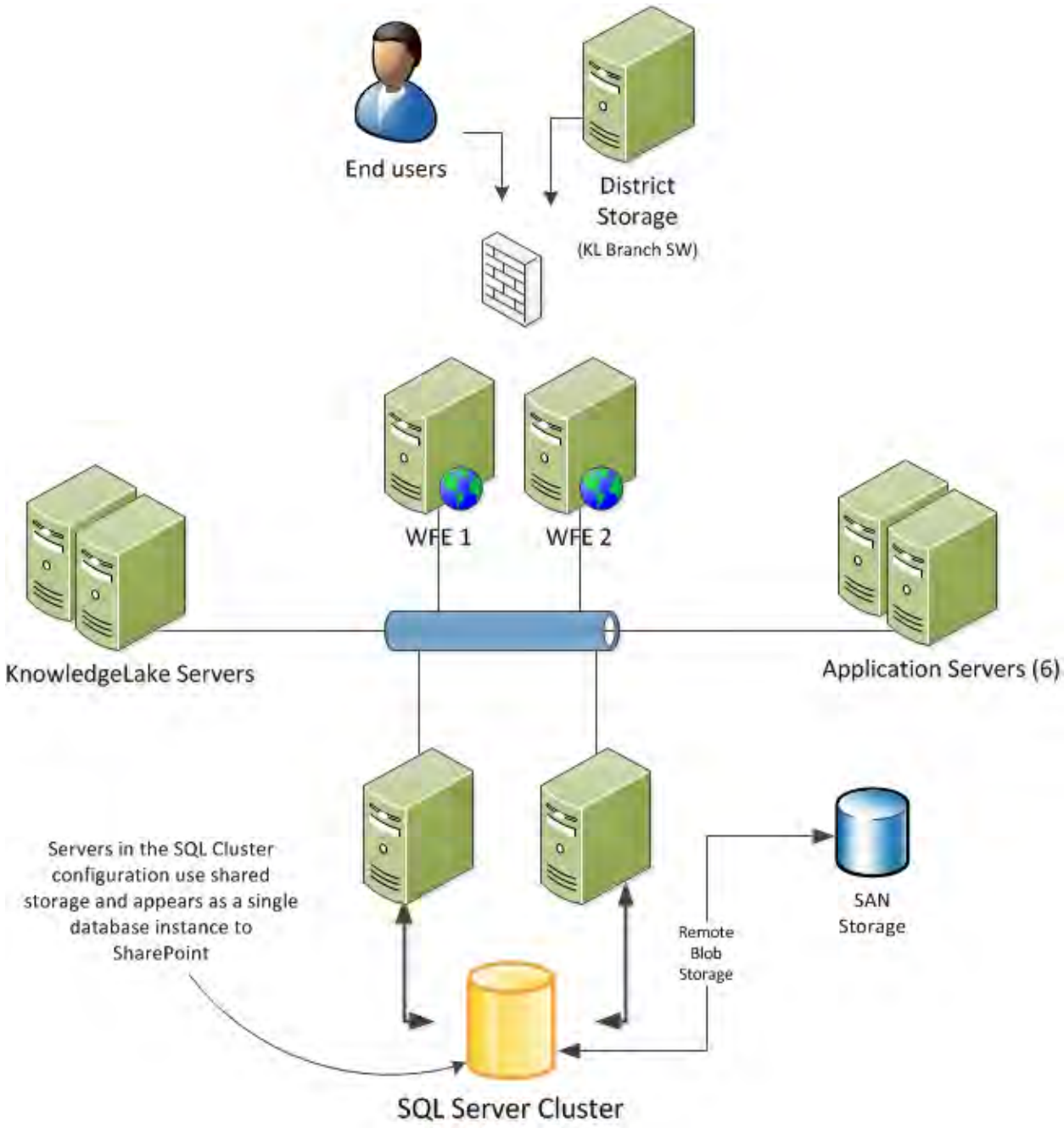
- Principal Database – This server acts as the primary database working as the 'active node'
- Mirror Database – This server acts as the backup to the principal processing transactions as they are written to the log files
- Witness Database – This server acts as the go-between in the event of a failure and allows the principal to automatically failover to the mirror database (without the witness, failover can actually take several seconds)

SharePoint 2010 fully supports both methods however it is specifically "mirroring-aware" as the preferred method. Using SharePoint's central administration, the databases can be configured directly for managing a failover. If a failure event occurs, SQL and SharePoint handle the problem as so:

1) The "Witness" Server configuring for mirroring switches the roles of the Primary and the Mirror databases
2) SharePoint automatically routes transactions to the Mirror (now Primary) as the failover database
3) Operations resume with the changed roles enabling the failure to be corrected

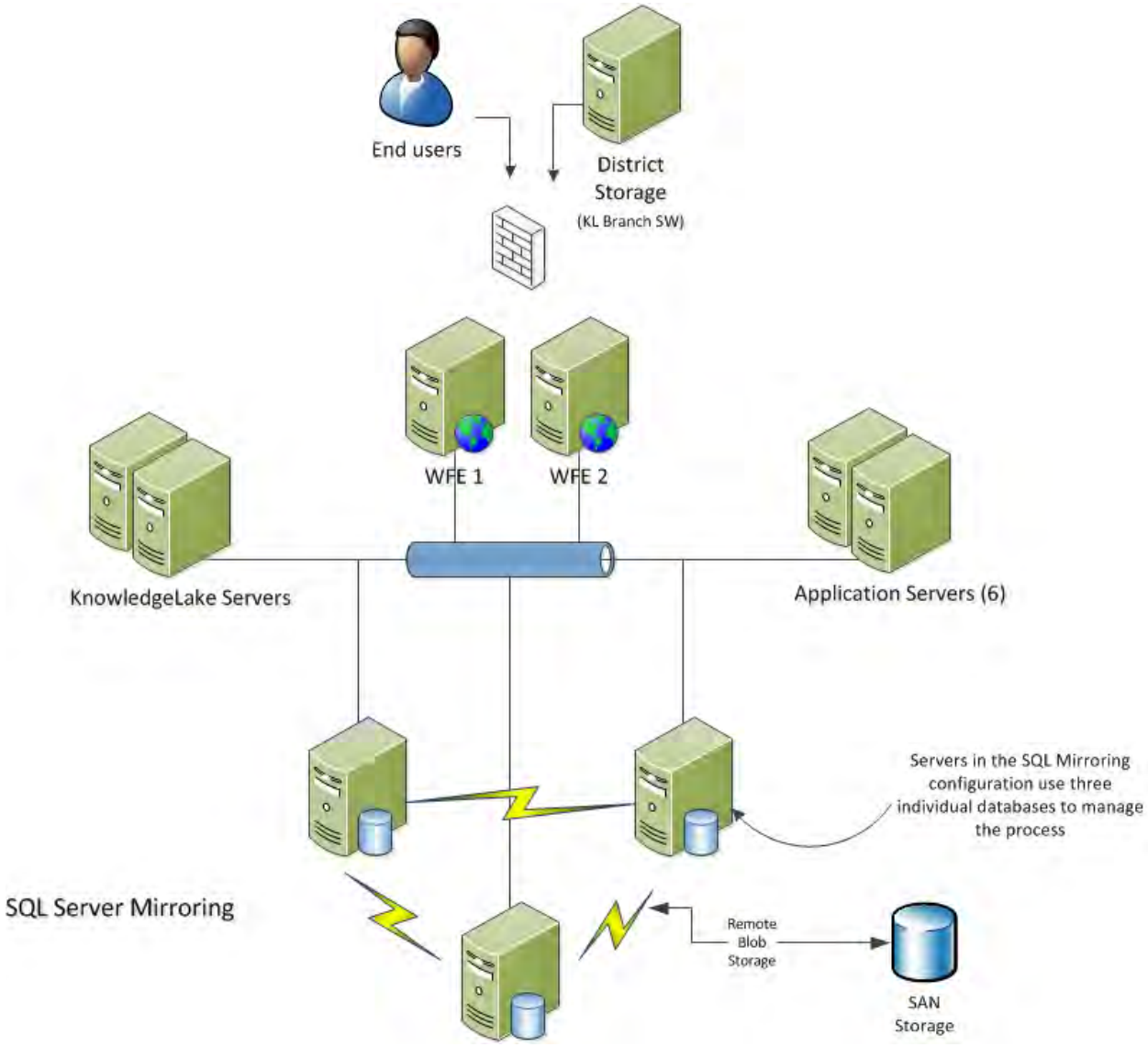
Each of these models follows – note that "Remote Blob Storage" is referenced; that is explained in the next section.

SQL Server Clustering



As shown, the Cluster appears as a single database instance to SharePoint. Nodes (servers) in the cluster provide automatic failover to shared storage; recovery time on a failure is instantaneous.

SQL Server Mirroring



Mirroring uses multiple databases which enables database level mirroring instead of the entire database instance. This allows for flexibility in failover and allows for additional nodes to be overlapped. When configured using the 'highly available' configuration using a third SQL Server as the "Witness" recovery time is virtually the same as using clustering.

SharePoint 2010 is specifically 'mirroring' aware; this means that individual content databases can be mirrored separately and easily maintained or modified through Central Administration and using PowerShell.

Recommended Configuration

In practice, both of the SQL Server methods for high availability would serve the agency's needs. For performance, both methods (even if not using the 'highly available' configuration for mirroring) would be nearly equal.

For the purposes of using SharePoint for collaboration, SQL Clustering is usually sufficient, however, the scanning & storage aspects will be a mission critical environment that could potentially affect the entire Agency statewide so SQL Mirroring is the recommended method. While it does represent additional cost due to the need for a third server, it provides a number of benefits over the clustering model:

- The volume of documents processed by the system will be an increasing scale and performance will have an impact on a larger number of users; immediate failover without user interruption is necessary. SharePoint's 'awareness' of the failover process makes this as seamless as possible.
- It will be easier to 'force' a failover to enable system swaps or even replacement
- Major recovery of a single database is possible without disruption of the farm.
- It provides better scalability to accommodate increasing storage.
- SharePoint databases can be individually managed for failover; this will allow greater flexibility and provide better control over the collaborative use vs. document storage.
- The Risk Assessment for this project identified disaster recovery as an issue for implementation; using this configuration would mitigate the risk of failure and provide at least local recovery.

Recommended Document Storage

In addition to determining the SQL method to use for high availability, another consideration for SharePoint is "BLOB storage". BLOB (binary large object) storage is the method SharePoint uses to store documents and images.

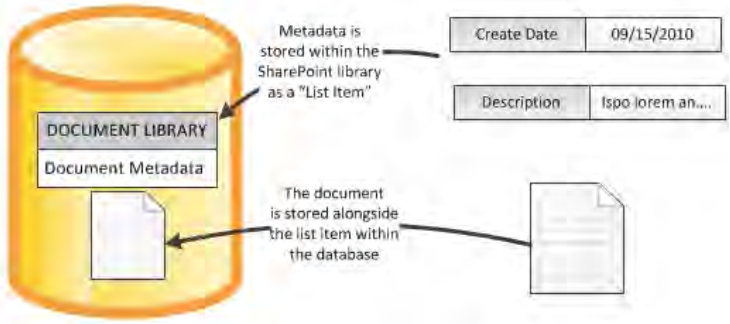
By default, when a document is uploaded (added) to a SharePoint library, a library list item is created to store the "metadata" (information about the document) and the 'file' itself is stored alongside it. When the user clicks a document to open it, it is actually 'pulled' from the database and sent to the end user.

Remote BLOB Storage or RBS is a SQL Server feature that permits BLOB's to be stored 'outside' of the database and utilize disk storage instead. In terms of SharePoint, this means that when a document is uploaded to a SharePoint library, a library list item is created but the

document itself is stored on disk. When a user clicks a document to open it, the document is loaded from the file system instead.

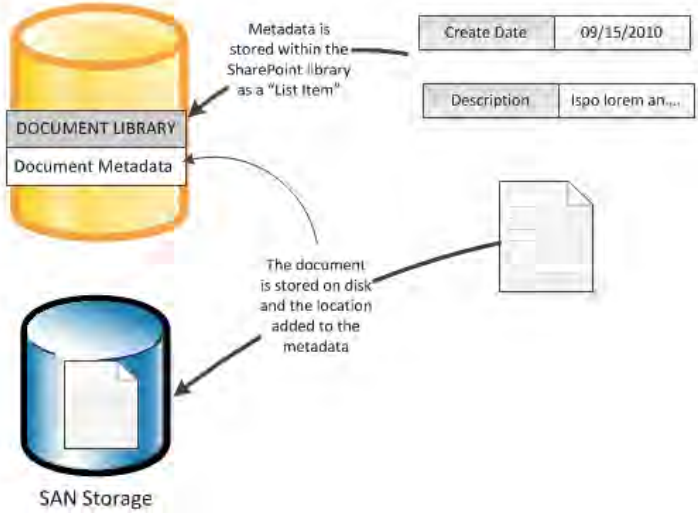
SharePoint Default BLOB Storage

By default, SharePoint stores documents (files, images, etc.) within the SharePoint database along with the document 'metadata' (information about the document, when created, etc.)



SharePoint Remote BLOB Storage

Using Remote storage, document metadata is still stored in the library, but the actual file is stored on disk; this reduces the database storage significantly, enables caching and still provides the same capabilities for search.



The differences between the storing in the database or a file system are quite significant in terms of document management. Storage of documents within the SharePoint database simplify backup and restore however the overall number of documents that can be efficiently stored is reduced.

For storage, SharePoint lists and libraries have the capacity to store millions of items so there is no set limit. However, SharePoint lists and libraries are synonymous with a database table; the more data stored in the table can hinder performance.

Using RBS, the documents are stored to a file system, thereby significantly reducing the amount of storage in a given library and in turn, increasing the number of items that can be stored. RBS does add to the cost of the installation due to disk usage and to the backup and restore procedures since documents must be backed up separately from the database.

Note: There is another method in SQL Server called "Filestream". Filestream is pre-built functionality that is managed by SQL Server. RBS is an application program interface that is customizable for external development. KnowledgeLake is designed to utilize this.

From the user perspective, the relationship is invisible – searching and finding documents works the same.

It is highly recommended that the RBS method of storage be implemented for the following reasons:

- The volume of documents expected within the agency will reach millions quickly and continually increase
- File system storage is considerably less expensive than comparable database storage
- Viewing of libraries with millions of items, specifically scanned documents, will not be possible due to limitations within the SharePoint User Interface and instead handled through the KnowledgeLake search and viewer tools
- The agency already has a SAN storage upgrade underway that should support the storage needs
- Using RBS does not alter the operation of SharePoint
- Using RBS can provide better caching capabilities within SharePoint enabling frequently hit documents to load faster
- It will provide better performance overall for end users:
    - Search will be faster based on streamlined metadata
    - Metadata will provide enough information so that documents will not always need to be opened
    - Using previews, documents will not have to be downloaded
- It is a recommended method of storage by KnowledgeLake

Recommended Information Architecture

The recommended information architecture (IA) outlined here is specifically to address the usage of SharePoint for collaboration purposes, outside of the scanning/storage operations. As a general guide, the information architecture is a combination of the taxonomy and the topology the agency should use when building out and maintaining the intranet site used for collaboration. The taxonomy is the layout of the information; topology is how to navigate to it.

The recommended approach for the taxonomy has two views. The primary view presented will utilize a 'landing page' approach in which information will be centralized around the home page then landings for each district. The secondary view will be by department/group, each using a sub site collection organized by functional need within the group – for this initial deployment, this will be very limited in order to facilitate migration from the existing SharePoint 2007 instance.

The landing page approach for Districts is a single level (one page) and will provide an entry way into the KnowledgeLake functions. The collaboration site landing page has two tiers of sites – the first level sites are functional landing pages that are specific to group or subject. For the initial release, this will be the anchor groups – HR, IT, etc. though as the site matures, new ones should be developed to accommodate functional areas such as Knowledge Base, Online Courses, etc. and later expanded into use in District Offices.

For the initial deployment, it is recommended that the structure of the sites use a consistent topology and site structure to simplify setup and training. In other terms, every site should have the exact same navigational structure to avoid confusion.

For MECMS, SharePoint will represent two different functional areas – the first is as an entry way to provide access to documents stored in the repository, the second as a collaboration environment to support migration off of the 2007 platform as well as set the stage for future development. Internally, the "site" will actually be two distinct "site collections" to create a complete separation of collaboration storage and document management storage.

Information Architecture

The information architecture is unique to the agency's current environment as well as intended to accommodate for the future use of the solution. Instead of a typical IA which encompasses the complete environment, the agency will promote a limited collaboration environment and document management solution. Many of the typical attributes of collaboration will have to wait until the organization can absorb the changes.

Planning the information architecture is directly related to the actual content to be deployed; security considerations, general access, number of clicks to reach content, etc. are combined to dictate the way information should be laid out. That said, the vision of the intranet is fairly specific – how this is implemented, specifically using SharePoint, is another matter.

For the first deployment phase of SharePoint and KnowledgeLake, it is highly recommended that a very 'out of the box' approach be used to avoid unnecessary complications. Since the scanning operations will be mission critical, add-ons or extensions to SharePoint could have

significant impact on the operation and not worth the risk. That said, it is expected that SharePoint will easily accommodate most of the needs within the agency to include migration from the current SharePoint 2007 installation into 2010.

Within the constraints of an out of the box approach, the information architecture will necessarily be simple. Topology will be logically oriented by district and home office since the orientation (at least initially) will be to access documents stored by KnowledgeLake. Collaborative use will be limited to support the migration of the existing instance for the first deployment though it is expected that usage will expand – for example, using sites to track audits, etc.

The information architecture suggested here is intended as a starting point for the agency and doesn't limit expansion; sites can be used for any purpose such as creating a Wiki for policies, etc. One of the major benefits of SharePoint is the pre-defined provisioning and security model; a top level site can have any number of sub-sites (and sub-sites under them). Sites can share (inherit) security or be completely independent. Individual access and security can be assigned by site, by list/library or by item.

The organization of sites is free form and can be moved around and if needed and even removed from navigation (without removing the site). SharePoint provides a series of pre-built 'site templates' which determine the functionality provided out of the box (site templates can be customized).

This includes:

- Publishing Sites
- Collaboration Sites
  - Team Site
  - Workspaces
- Meeting Sites
- Enterprise Wiki Site
- Enterprise Sites
  - Document Storage
  - Records Center

All SharePoint sites represent an upside down tree – at the 'root' is the 'Top Level Site'; sites created below it are called "sub-sites". There is only one root, but there can be any number of sub-sites; the group of sites is considered a "Site Collection". An important feature for the agency is that site collections have unique databases. This will enable collaboration and general content to be completely separate from the document storage used for scanning. This helps for backup and recovery and with performance.

Functionally, the major difference between Publishing sites and others is that the sites support the use of 'Content Pages' within the site. Actual page content is based on a page layout and the data stored in a 'page library' making them easily modifiable and their content searchable within SharePoint. Thus the 'publishing' name; content pages are specifically aimed at providing content that is published (often with approval workflow) for articles, news and other freeform

content. Within publishing sites, Site Administrators have the ability to move content, pages and even sites can be moved and reorganized at any time.

The others are essentially the same site template (often called a “team site”) with various web parts and features included (or not). These are single page sites that are intended to be used for what a “Purpose” or “Function”. Unlike a publishing site that has a mixture of content (pages, sites, libraries) team sites support only web part pages and free text content pages; sub-sites created below a team site are limited to other team site types. Also the structure is rigid – the site/sub-site structure cannot be changed.

Specific Recommendations

Because of the complexities of the document management solution by KnowledgeLake, the information architecture for the intranet must be kept relatively simple. The main reason is a repeatable architecture which by itself provides for a reduction in training and overall maintenance.

As well, the current learning curve within the district offices will take some time and will require working with both the existing mainframe and SharePoint to accomplish the same tasks now done manually. Keeping a very simple model should generally help end users easily navigate the site since use will be focused on stored documents.

The general content organization follows:

- Widely Public – available to everyone, of general interest; security should be open to users; Landing Pages fall into this category.
- Limited Public – a subject or area that is either not widely used, specific to a segment of the organization or provides reference to content below it; for the intranet, security should be open for read. Department level sites fall into this category.
- Subject Matter Specific – specific to the subject or department; security should be enabled as needed. Initially, the agency may not utilize this level of site however, a few might be setup to support the Compliance manage for security purposes.

A deviation from the above will be sub sites used by individual districts which they should be free to do with as they please providing basic navigation is maintained, however this is long term and should not be implemented with the initial deployment.

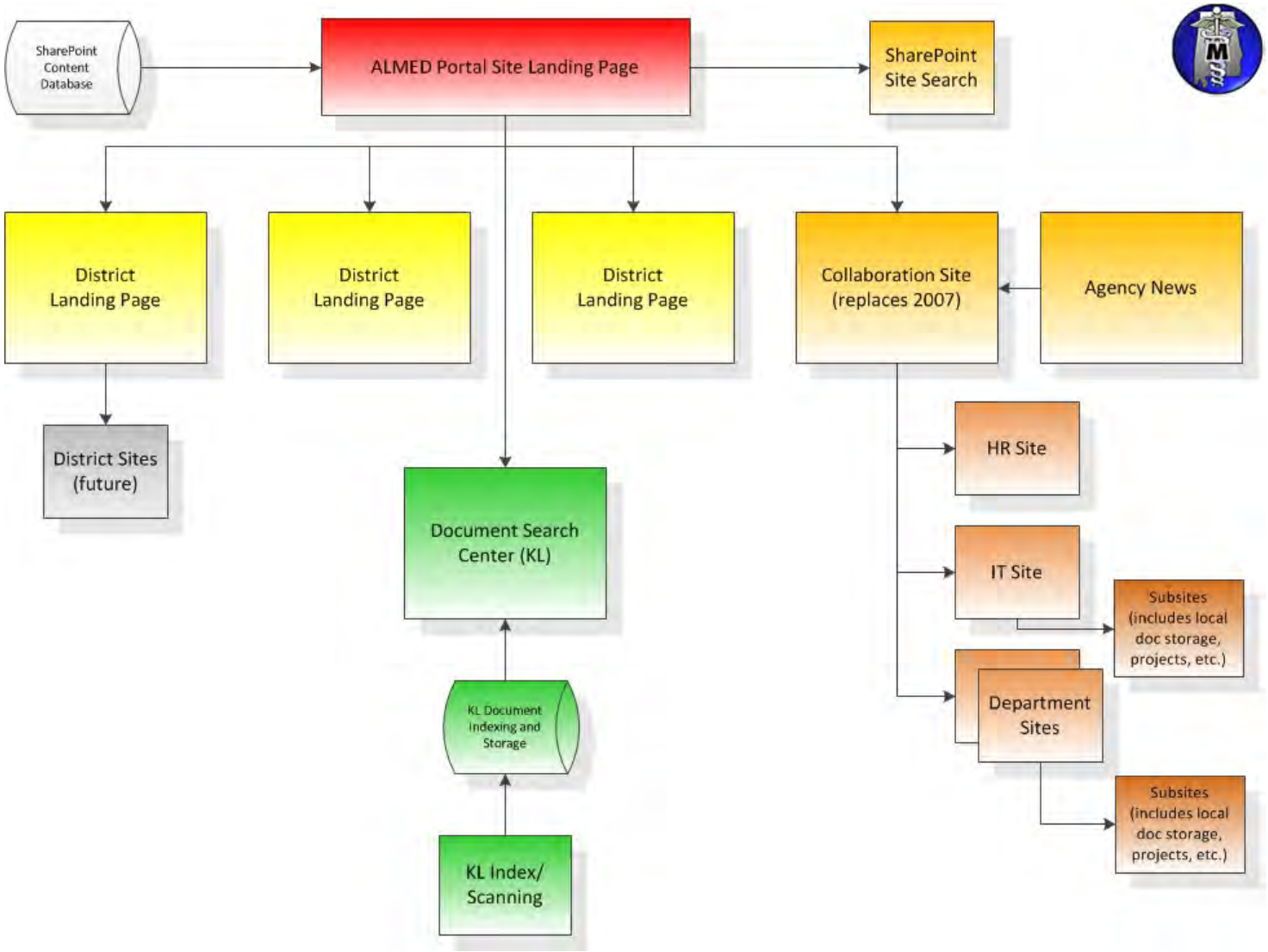
A Note on Secured Content: SharePoint provides sufficient security to maintain sensitive materials with a few suggestions:

- If the content is lightly secured (like ‘contributors only’), using line item security or a sub site with specific security is usually sufficient.

- Any site used for highly secured content should have a dedicated content database, backed up separately from other sites.

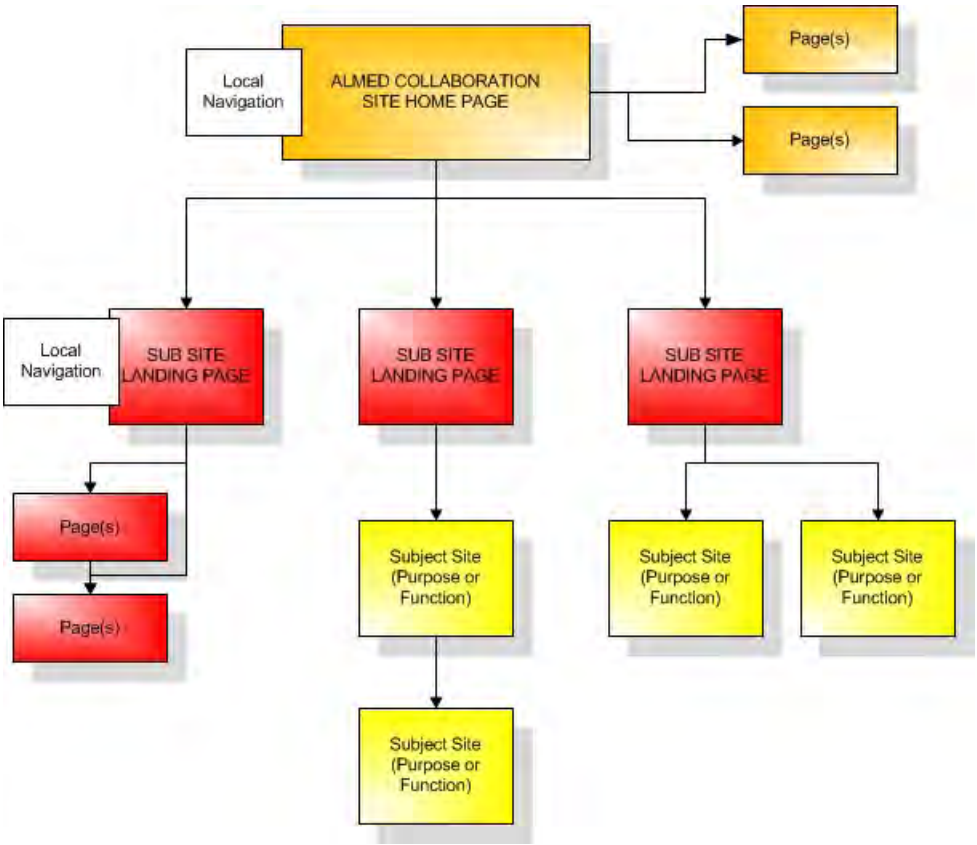
The conceptual model of the intranet architecture topology is as follows.

Alabama Medicaid Suggested Topology



Collaboration Information Architecture

The internal collaboration architecture (indicated by the Collaboration Site) should follow a set structure in information organization to ensure that navigation and topology is maintained as follows:



The overall site structure should maintain a 1 to 2 click rule for users to reach the information they are seeking. The primary key to this is the content from the widest audience (Home) to the narrowest (Subject site). The 'navigational' structure is used to organize the content as so:

- The Global navigation is shared across all sites and should point users to specific information silos (i.e. HR, IT) and target the widest audience possible
- Landing Pages provide local navigation within the content therein including any links to lower level (more detailed) sites
- Subject sites (i.e. Purpose or Function Sites) are easily reached from the Landing page and can be included in the local navigation on the Landing Page or grouped via links
- Sub-subject sites are for drill down into specific information; navigation to them should be provided by the parent site

- Links to content should be used liberally and is the method for exposing/highlighting Subject Site content on the home and landing pages

Intranet Content Goals, Implementation and 2007 to 2010 Upgrade

Clearly the goal of the agency intranet site is to provide a central location for information, but also to create a resource that can help personnel do their jobs more efficiently. In review of the current environment, most content is static (or on the file system) and reference based.

On the present 2007 farm, there was no information architecture applied and site usage is mixed. For most it is used as a document repository since it provides better search than Windows. In addition, specific document types (content types) were not defined so the storage plans are mixed. Some have used metadata (or extended lists), others have not or not consistently.

The ideal direction for the content is to put much more emphasis on development of an organized collaboration site. This is a mixed combination of static content and fixed navigation for continuity and selected content from sub-sites summarized on landing pages.

Unlike a traditional intranet, the agency's focus will be primarily on the document management aspects of the KnowledgeLake tools. District landing pages will be intended as link pages to access documents with some general information. Only the collaboration area will be where actual content and documents will be stored (always separate from the KL documents).

The following recommendations apply to moving forward with content definition and deployment; existing content in 2007 will need to be updated.

Information Rights Management

Unlike the scanning side of the operation, IRM should be implemented in the collaboration side of the site. IRM within SharePoint allows limiting of actions users can do with files that have been downloaded from lists or libraries by encrypting the files to limit what they can be opened with. In addition IRM can be used to limit the rights visitors (readers) to allow access but force the files to be read-only so they cannot be copied or printed. IRM 'policies' are setup on the list and library level and can utilize content types to set proper content with policy. IRM can also be used for other types of policies to include retention, labeling and auditing.

IRM requires that the Windows Rights Management System (RMS) be installed and enabled for users to take advantage of these features. Note that IRM should not be applied to areas used for scanning documents and ONLY applied to collaboration areas to prevent conflicting with KnowledgeLake's storage controls.

Specific Recommendations

1) Develop Content Types to profile documents

Many of the agencies documents can be profiled based on the type of document and the rules around handling them. Using the SharePoint 2010 Metadata services, these content types must be setup so that all documents brought into the system are correctly classified. Content types are created from Site Columns and establish the metadata (information about) for a list type or document. For example, a site column might be used as "Yes or No" if a document has PHI information. This site column is then used in a content type to define a document type, for example a program application form. When a new form is uploaded, the PHI Yes/No is selected – that document can now be searched on whether or not it contains PHI information. In addition to search, content types are integral to how SharePoint deals with document operations such as routing from a drop library, retention rules, etc. Note: content types must be defined before any content is added.

2) Implement Audiences before adding Content

One of the best benefits in using SharePoint is the ability to 'personalize' information in a generic fashion and SharePoint's tools are setup for this. Unlike security which controls access SharePoint Audiences are used to provide displays of information that is based on who the user is (anything in their profile can set their audience). This personalization enables content producers to target specific users or groups of users with information that they would be most interested in. Developing audiences is quite simple – an audience can be based on any part of a user profile, the District, a Program, etc. and can be added or removed at any time. The definition can be specific, for example "SOBRA" or generic "District 1". Once defined, anyone posting content has the option of selecting which audience(s) they want to target. Several SharePoint Web Parts use audiences to control what is displayed (for example, filtering list items).

NOTE: In Office Server 2010, there are also 'Organization' groups that work like Audiences (added to support the 'hosting' environment). Note: audiences must be defined before any content is added.

3) Develop List/Library Metadata to facilitate Search

A common set of 3 to 4 items should be considered for addition to lists and libraries to facilitate search functionality and provide reinforcement for rules of content. For example, type of document, description, etc. should be added and made mandatory. Additional items should be added if necessary however to limit user data entry you should keep the number of required fields low and whenever possible, use drop down list fields or fields that reference lists to prevent keying in data. A few examples would include "District" and "Program" – as dropdowns, users would be able quickly tag documents and lists items correctly without having to type them in. Default lists and library types should be updated and saved as templates to be used by end users. Note that like content types and audiences, templates should be defined first and end users instructed to use the correct template.

4) Develop a content strategy

It is recommended that a specific content strategy be developed for both and short and long term for content within the collaboration side. For the initial deployment, this should be fairly restrictive to ensure that navigation and the taxonomy is consistent (this will help preserve the organization). In addition, number of sites should be restricted – empty sites should not be permitted. To accommodate the migration from 2007, sites should be restricted to the base shown in the Information Architecture and department sites to be used for local document storage. A long range plan should be developed along with the next phases on the project.

5) Develop Rules for content

Specific rules must be setup as a guide to end users based on what permissions they will be granted. By default, members have the permission to upload documents, add/edit/delete list items, etc. At the very least, the guide must specify a 'code of conduct' with content which should clearly explain what is OK and not OK to add as well as any guidelines around types of documents.

6) Define levels of Site Security

SharePoint permits security at several levels. Sub-sites for example can have their own security settings to include owners, members, etc. The same is true for lists and libraries down to the list item/document level. For the agency, security must be kept simple and strictly within the guidelines of the Information Architecture. Top level sites should have consistent security (managed by a few) as well as secondary sites. Altering of site permissions should be limited to third tier collaboration sites (team sites, etc.) where the audiences are to be intentionally small.

NOTE: Line Item/Document Security should NOT be used as it can cause issues within the KnowledgeLake system.

7) Define IRM Policies

Information Rights Management Policies should be matched up with the content types developed and implemented by site owners when appropriate. Once reviewed in terms of the overall scope of policies that may need to be created, they should be standardized across the agency and common policies re-used to reduce confusion and support proper auditing (if enabled).

SharePoint 2007 to 2010 Migration

Within the agency, the main office has been using SharePoint 2007 (MOSS) for some time. Over the course of the last year, many people in the field were trained in the basic use; fortunately a carry over for 2010 usage. While many of the features of MOSS were deployed, it was somewhat limited to an initial pilot that grew into departmental usage. A number of sites have been deployed with heavy usage in some areas (IT, HR). There have been other sites

used for collaborative purposes (calendars, etc.) and some that have a considerable amount of storage.

Because of the existing usage (see below), it will be necessary to migrate the existing environment 'in complete' to the new 2010 environment as an 'in place upgrade'. To facilitate the migration however, there must be a preliminary effort to clear some existing issues:

1) The original organization was mixed; some will have to be reorganized to better match the information architecture

2) There are 'dead'/unused sites; these should be checked and removed if no longer in use (there are utilities in SharePoint's Central Administration to assist in this)

3) Content types as profiles will require retro-fitting.

4) Content may need re-tagged depending on what it is.

5) Documents libraries may need to be re-organized to match content type groupings and security.

Recommended Approach

The implementation of the KnowledgeLake solution for scanning and storage will make that system a mission critical/high availability environment. Unlike the existing system in use, it will be critical for end users to have instant access to documents on-line – if unavailable, they will be unable to perform their work.

The recommendation would be to not comingle the scanning/storage operations with the day-to-day collaboration usage now done on the 2007 site since the usage patterns and availability requirements are quite different.

In the present environment, the 2007 sites are already established on their own dedicated Server Farm; it is therefore recommended that the existing installation be upgraded to SharePoint 2010 using the "in-place" upgrade. The in-place upgrade automatically converts 2007 to 2010 and preserves the settings for users, security, etc. In addition, keeping this separate from the scanning/storage solution will prevent any disruptions or possible impacts to the schedules; any delays or issues with the scanning/storage solution will not affect the collaboration solution.

The in-place upgrade process is quite simple however it is highly recommended that the existing site be reviewed and prepared to minimize potential problems. There are several aspects that dictate this recommendation:

1) User customization
    a. Existing user information and customizations within My Sites and personal views; the in-place upgrade will retain this information and settings

b. My Links and User Profile information will transfer to the new profile configuration in 2010
c. My Site content will be preserved
d. Alerts set on site content will be preserved

2) Audiences and Distribution Lists
   a. Audiences currently setup (stored in the Shared Service Provider in 2007) will be migrated to the User Profile Service within 2010
   b. Distribution lists (within SharePoint and those tied to Active Directory) will be carried over
   c. Existing Active Directory information already in the SharePoint profile database will be carried over to the new User Profile Service in 2010

3) Documents and Lists
   a. All documents and list items are tagged with Authors and Editors; this information would be lost if documents are “reloaded”
   b. Existing document versions will be retained by migration along with original authors
   c. Identity Management has been integrated into several of the lists; this will be maintained with the conversion

4) General Content
   a. There is extensive content in several site collections that would require far too much effort to migrate manually
   b. Free form content on pages will migrate (with adjustment - see below)

5) Workflows
   a. Current workflows (2007) will carry over to 2010 and operate the same way (does require adjustment – see below)
   b. Workflow history (maintained in workflow task history lists) will be maintained

6) Excel Trusted Locations
   a. Excel trusted locations already defined will be preserved
   b. Links within the site structure to trusted locations will not be ‘broken’ (URL re-writing is done during the conversion)

7) TFS
   a. The development environment (Team Foundation Server) is attached as a site collection within the 2007 environment; database migration will migrate all of this content to include version histories and source
   b. Migration via SharePoint eliminates attempting to upgrade TFS independently (see below)

8) Quotas
   a. Site storage quotas have already been established; migration will preserve the current settings on sites

With this kind of conversion, some areas will require configuration or adjustment as follows:

1) Workflows – Workflows in SharePoint 2007 do not 'convert' to 2010, instead, Microsoft provides a 'feature' that must be enabled (prior to conversion). This feature enables workflows to operate the same without changes. Once deployed however:
    a. New workflows will need to be created using the SharePoint 2010 format
    b. Existing workflows will need to be reviewed and upgraded if needed (most general workflows like simple approval processing will work without issue)
    c. Site level workflows will need to be developed to remove redundant workflow processing (in 2007, workflows are handled at the list or library level meaning repeating workflow settings if the same actions are desired on two different lists; 2010 permits a common site level workflow to be applied across lists).

2) Web Parts – Custom web parts that were either developed or purchased third party will not covert up to the 2010 platform. These will require rewrite (if developed) or updated versions obtained from the third party; if not possible:
    a. Custom web parts should be removed from the existing 2007 site before conversion
    b. Any Site Templates (see next) that contain custom parts will no longer be usable

    NOTE: Web Parts used for the Help Desk System may need to be rewritten or redesigned; while 2010 supports the '2007 style' of web parts, some functional changes within the SharePoint Application Program Interface (API) may impact them. To ensure proper operation, these will need to be tested in the 2010 environment; it would be suggested this be done when doing a trial upgrade. Also note, the parts themselves will not properly upgrade; they will have to be installed directly into the 2010 environment to operate.

3) Site Templates – There are a few custom site templates that are in use in the current site. Dealing with these customizations has an impact on the conversion and depend on how they were done:
    a. If templates were developed programmatically, these will need to be rebuilt in SharePoint 2010 to support them (to include matching the custom ID's used); note that there is no indication that these type of custom templates were added.
    b. If templates were customized with SharePoint Designer, these may require being "reset to the Site Definition" via Designer or may require editing to remove the customizations
    c. If templates were created by end users using the "Save as a template" method, existing sites should migrate without issue however, the templates themselves may require rebuilding (using the same 'save as' method in 2010)

4) Email Inbound and Outbound – This is used extensively within the existing site; to avoid having to reconfigure this, it will be necessary to ensure DNS is properly setup to handle the move of the email addresses themselves. Outbound email will be easily configured as it is in 2007 (this is just a setting to point to the proper Exchange server).

5) Search - Current search information and indexes will not migrate with a conversion (nor is it compatible with FAST), this means:

a. Search settings (keywords, best bests, etc.) will need to be redeployed using the 2010 Search Service.
b. It will be necessary to specify 'terms' for search context within the 2010 Managed Metadata Service.
c. Content sources will need to be defined for the Search Service/FAST and all content re-indexed

6) Content – While most content is freeform on the page, use of the Content Editor Web Part in 2007 can be a problem when including either references to images, documents or other sites. This web part unfortunately stores the full URL to a given item which may break when moved; these will have to be dealt with on a one off basis and in some cases, may require deletion from the new site then copy & paste from the old site replacing the links with the correct (new) locations. Note however, this should be of little impact with an in-place upgrade – during the conversion process, SharePoint will update any URL's necessary.

7) TFS – The TFS conversion, like SharePoint, will require that TFS 2010 be installed and configured for use.

8) Active Directory Information – The majority of Active Directory information will be carried over into the new User Profile Service but it will be necessary to define the AD Connection and Import schedules to synchronize with AD on the new platform.
9) Visual Studio – Since TFS 2010 is being installed, it is recommended that Visual Studio 2010 be installed and configured for use.

Conversion/Migration Steps

Step 1 – Preliminary Effort (Existing Farm)

1) Have all existing users review current sites and cleanup or remove any content that has either expired or is no longer in use

2) Delete or archive any documents that are no longer needed – Archival of files should be to a network file share and set as read only – this will permit the file share to be added as a searchable location within SharePoint

3) Have all existing users provide a list of all existing 'document types' known to include PHI and retention need (this will be required for setting IRM and Records Retention Policies in 2010)

4) Delete all unused sites – this should be checked through both the Central Administration and through the Site Administration; sites will little to no content or unused for a period of 3 months should be eliminated

5) Customized site definitions must be identified and classified by type of customization (Programmed, modified with Designer or created via 'Save as a template')

The result of the above will:

- Define the list of necessary site columns and content types that must be created
- Identify all in need of secured sites
- Create a dedicated area for archiving documents while making them searchable
- Reduce the migration of clutter/out of date/not in use content
- Eliminate empty sites that may hinder conversion
- Provide a list of Site Customizations by type that will have to be dealt with prior to migration

Step 2 – Preparing for the In-Place Upgrade

Since the existing farm is in use, preparing for the upgrade will require a 'dry run' effort to determine any issues as well as to set the timing required for the actual conversion. To accomplish this, it will be necessary to perform a complete backup of the existing production systems and restore it to the development environment so that the upgrade can be done without impacting the end users. This will include the following:

1) Determine whether to use the existing development environment or to setup a temporary server farm. Using the existing development environment may make it unusable and require rebuilding however VM Snapshots can be used to minimize the risk. Alternately, a separate (temporary) server farm can be created for the purposes of the dry run. Note that if a temporary farm is used, it might be necessary to 'fake' the DNS, IP or System name to properly operate – this can be accomplished by using a VMWare network to isolate the server(s) from the LAN.

2) Perform a complete backup of the existing production farm using the "disaster recovery" method (via the STSADM command). Record the time required to perform the backup.

3) Restore the backup to the 2007 development/temporary farm using the SharePoint tools. Record the time required for the restore.

4) Review the restored site to verify operationally sound; event logs, etc. must be checked to ensure there are no errors. NOTE: With a different DNS, some Content Editor Web Parts (see Content above) may not render due to the incorrect path. This should not be considered an error since that problem will not occur on an in-place upgrade.

5) Install the SharePoint 2010 Software on the restored farm (it will install 'alongside' 2007).

6) Run the PreUpgradeCheck application provided with 2010 – this analyzes the 2007 installation, checks for possible problems with templates, checks for pages that have been un-ghosted (detached from their original template) and prepares the database for the upgrade. Note that you cannot upgrade until this tool is run and completes successfully.

7) Review any issues on the PreUpgradeCheck so they can be corrected in Production. Most often issue is pages that are un-ghosted; since the master pages between 2007

and 2010 are different, un-ghosted pages will retain the 2007 'look and feel'; correcting this issue is done using SharePoint Designer using the "Revert to Template" method to 're-ghost' a page.

NOTE: it is not suggested that any corrections be made in the restored environment; these should be done in production and the process of backup/restore done over again. This should be repeated until all issues are resolved.

8) Once the PreUpgradeCheck has run successfully, SharePoint 2010 can be configured and the in-place upgrade selected. Once started, the upgrade process will begin to include upgrading the database schema. Be sure to note the time this starts and ends as it will be a measure for planning the actual conversion.

9) After the conversion, check for any errors in the System Event Logs; any web part errors can be ignored.

10) Create the 2010 services for Search and User Profile Import (other services are not needed for testing) – NOTE: It will not be possible to test without the User Profile Service configured and users imported.

11) Next, any third party web parts (including the those used in the Help Desk) should be removed using the 2007 STSADM tool then re-installed using the 2010 STSADM tool; this will ensure the proper files and entries are made into the system files.

12) Test out the site (including web parts) after the conversion.

The result of the above will:

- Discover and enable correction of any existing issues that may prevent the conversion
- Determine if there are any issues with third party web parts, specifically to identify any that do not work
- Setup the timing required to perform the actual conversion (backup, restore, convert)

Step 3 – Performing the In-Place Upgrade

Planning for the upgrade will be based on the times accumulated during the dry-run efforts. The actual time will determine how much in advance to schedule the upgrade as users will be locked out during the conversion. The time is largely dependent on the amount of storage; 50GB of storage can take up to 10 hours to convert. End users must

1) "Quiesce" the SharePoint site (this locks out users in a controlled fashion until all connections have been terminated – users cannot connect once the farm is quiesced). Once complete, the User Profile Import and Search Crawl jobs should be disabled (simply remove the schedules); this will prevent either of them from trying to run during the conversion.

2) Perform a complete backup of the existing production farm using the “disaster recovery” method (via the STSADM command).

3) Snapshot the VMWare Servers to maintain the state before conversion (this is the fall back if the conversion fails).

4) Install the SharePoint 2010 Software on the production farm (it will install ‘alongside’ 2007).

5) Run the PreUpgradeCheck application provided with 2010 – from the dry run efforts, this should complete successfully.

6) Review any issues on the PreUpgradeCheck; if any errors are detected, the process should be stopped, the VMWare snapshot restored then the process started over from step 1.

7) With PreUpgradeCheck run successfully, SharePoint 2010 configuration should be started and the in-place upgrade selected.

8) After the conversion, check for any errors in the System Event Logs; any web part errors can be ignored.

9) Create all of the 2010 services to support the collaboration site – this includes Search, User Profile Import, setup of My Sites and the Managed Metadata Service; configure all of the services completely (except for Search) to include setup of Unattended Service Applications (Excel, Visio). For the User Profile Import, configure this service and execute a full import; wait until the import has completed before continuing.

10) Any third party web parts (including the those used in the Help Desk) should be removed using the 2007 STSADM tool then re-installed using the 2010 STSADM tool; this will ensure the proper files and entries are made into the system files.

11) Verify the new production site (including web parts) after the conversion.

Finalize Settings

1) Set up incoming and outgoing email settings.

2) Setup the Search Service and configure the content paths to be crawled; setup the standard search crawl schedule and execute a full crawl of the content.

3) Create all site columns and content types required in the Managed Metadata service.

4) Check SharePoint’s health monitor to ensure services are operating properly.

The result of the above will:

- Convert the existing sites and My Sites in-place
- Verify the server operations are working correctly

- Create the services to support the collaboration site and kick off the necessary schedules (User Import, Search, etc.)
- Create the common metadata site to support both search and content

Step 4 – Post Conversion

After the conversion it will be necessary to verify the site content BEFORE releasing to production – this will include checking:

HTML/JavaScript – Any content added using the "Content Editor" web part must be checked to ensure links were not broken; this is unlikely but should be checked.

Custom Site Templates – All customized templates will need to be checked to ensure they are operational. New site templates will have to be created to support the new format. Site templates created using the "Save As Template" method should be discarded and recreated from 2010 templates.

Custom Lists/Libraries – Custom lists saved as templates will have to be replaced with an equivalent 2010 version (existing lists will be fine but 2007 templates cannot be used in 2010).

Migration Planning

The overall migration process for SharePoint must be planned around the preliminary work to be done in SharePoint 2007, development necessary for 2010 and the conversion process itself.

Cleanup:

Based on the current site structure and workload, cleanup of the existing sites will take in the order of months. It may be necessary to enlist additional support in this effort to facilitate existing workloads.

Development:

Customizations that must be migrated to 2010 will require evaluation during the cleanup process. Customizations that cannot be upgraded may require complete recreation to work under 2010; if necessary, it may be necessary to remove these sites in 2010 after the conversion.

Dry Run Migration:

The migration process is heavily dependent on the actual size of the database to include backup, copy and restore. The actual conversion process depends on the content within SharePoint. The time required cannot be exactly measured however, a 50GB database can take anywhere from 8 to 10 hours to convert – the current Production database appeared to be larger than this. That said, the dry run process will need to include all of the time required; any failures will require a re-run from scratch. In practice, the dry-run process must be run at least 3 to 4 times until all errors and issues have been detected and resolved. The time from start to finish dry runs will dictate the time the actual conversion will take so that the production migration can be planned around it.

Production Migration:

In addition to the time established by the dry run process, the production migration must include time to review the new site and correct any problems with content or security; this can range from one to three days depending on number of ‘testers’. Even with successful conversions, this effort cannot be avoided. In practice, actual migration can take up to a full week.

Operational Governance and Security

The primary purpose for a Governance Plan and Policies is to establish the usage, content, administration and management of the SharePoint environment. In terms of Governance, the true definition is the security model to be used within the context of SharePoint and defining the roles and responsibilities of those that will use and support it. Policies on the other hand, are more focused on the usage of SharePoint to include rules of conduct, guidelines on content and methods for driving adoption across the agency. Note, this section, as is the information architecture, is intended for the collaboration intranet activities – scanning and storage operations will require additional/separate planning.

While the governance can be laid out, the agency must make a commitment to following the plan and keeping it updated to accommodate new functionality, new uses, etc.

For the agency, there are several key areas that are to be addressed:

Administration – This will be a new effort in addition to the current SharePoint farm in house (2007) to be managed by the infrastructure and supported by the SharePoint Administrator and the Help Desk. Training for the Help Desk and determining problem resolution checklists will be ongoing. The infrastructure team will need training in the monitoring and support of the product from a technical aspect (DB crashes, recovery, etc.).

Training – Knowledge of SharePoint technologies and Office 2010, the main collaborative tool is light from technical to end user use as was outlined in the Risk Assessment. As well, as a mission critical system now managed in-house instead of hosted significantly changes the current mode of operations. In addition to technical training, end user training must cover SharePoint, Office tool integration and use of KnowledgeLake's functionality.

Collaborative Integration – Somewhat new for the agency overall will be the ability to collaborate in areas that are currently walled off by email and otherwise disconnected communications. This will include the heavy use of collaborative Workspaces as well as the sharing of news and other 'fresh' content to common areas. While there is some exposure to this via the use of SharePoint 2007, it is expected that providing these tools will be very beneficial to the district offices and remote workers allowing them to collaborate on things like audits.

Content Management – Also a new concept for the agency will be actual content management in which content can be developed on the fly as well as widely expanded into various media. A content management plan of where things are located, how presented, etc. will be necessary.

Content and Document Search – While KnowledgeLake will provide search capabilities for scanned documents, content created on the collaboration side within SharePoint will also have Enterprise level search. To make SharePoint search effective however, it will require planning in the setup of keywords, ranking, monitoring, etc.

Upkeep and Policies – While 'getting it out there' is a good, there must be planning around keeping the content updated, expiring content and documents, archival of 'dead sites', etc. In addition, policies on storage, quotas, etc. must be maintained and updated to ensure both smooth user operations and ability to provide restoration services under the Committee defined SLAs.

The following plan is designed to address all of the above areas with specific assignments.

Structure of the Plan

The agency SharePoint Governance plan covers the following segmented areas:

- Governance Committee
  - Sponsorship
  - Communication
  - Deployment Management
  - Change Management
  - Cost Tracking and Management
  - Roles and teams
  - Site Usage and Classification
  - Content Management
  - Service Level Agreements
- Infrastructure and Management
  - Security
  - Farm Management
  - Monitoring
  - Maintenance
  - Disaster Recovery
  - Archival Management
  - Quotas
  - Reporting and Auditing
- Deployment and Development
  - Branding
  - Customization
  - Site Provisioning
  - Site Definitions
  - Development Standards
  - Source/Build Control
- Training
  - Administrative Training
  - Power User Training
  - End User Training/Training Continuity
  - Help Desk Training
- Taxonomy, Navigation and Search Management
  - Site Taxonomy
  - Site Topology
  - Site Directories
  - Site Columns
  - Site Content Types

- Search Keywords
- Search Ranking

Recommended Governance Plan

The Governance Plan provided here is based on the determined needs of the agency as a starting outline to be applied. The actual plan to be implemented should be created by the Governance Committee using this outline to ensure all areas are covered and by enhancing it to cover content and policies specific to the audience(s).

Governance has two operational purposes: On the committee side, it provides a way for them to get their arms around the overall management and ongoing control and at the start, allows them to set the scope for initial deployment. On the user side the plan provides the guidelines, rules and principals to be applied across the content, structure and information architecture.

While the development of a full plan can take some time, the purpose is simple – the committee uses the plan to cover the deployment and communications needed to ensure a successful rollout. The exact same 'bullet points' carry over to the user side. For example, the Committee knows that there are training requirements critical to being able to launch otherwise, people will be unable to use it. From the user side, an individual must have adequate training to use the tools. Two purposes, but one governing rule: "Individuals must be trained to use the tool before they can be granted access".

Another aspect of the plan is that it does not replace policies and procedures already in place; after all, that work has already been done. Instead, it should be used to classify policies into more general 'buckets'. For example, if a specific area is to be used for secured document storage, most would already have a policy surrounding that (i.e. marked confidential, only accessible to "x" group of people, etc.). Translating this to a Governance rule is simply "Documents that fall into the Must Be Secured category should follow the policies outlined in document x".

It is important to the Governance Plan not actually set 'policies' since that can be overly restrictive (and deter adoption). In practice, the plan must concentrate only on guidelines and the underlying principles for them (the rhyme with the reason) – for example a guideline of "No pornography" based on the organization's principle of "No offensive or illegal material". A drastic example, but many things understood as 'common sense' still need to be spelled out and communicated.

Users should use it more as a code of conduct aimed at providing clear direction on what goes where what is appropriate for the area being worked in. Unlike a "restriction", this makes their life easier since they can know where things should be (and not be). This also helps keep the designed information architecture – everything in its place according to the functional organization. This simplifies adding for the content creator and means users know where to find information they are looking for.

Governance Committee

The Governance Committee (GC) is chartered with the oversight of the functional aspects of the production system, specifically the "who, how and what" associated with its use. As a representative group of the agency and its internal functions, this committee will be responsible for the following 'roles'. Note that with the agency's current staffing levels, it is likely that more than one role will be covered by one person.

Business Sponsorship – where practical, a business sponsor must be assigned to be the champion of a request; it is their responsibility to bring in new requirements and requests from the user community they represent. In the agency, this may include organization wide initiatives (like the current). In addition, they should communicate out features and new functionality generated from other groups to determine if it is needed in their user community.

Communication – This role will be responsible for the communications and content approval. Due to the regulations that surround the agency, all content must have an approval process to ensure that only authorized information is made available and that it is compliant with the policies. This will also include assessing information content; since the agency portal will be available to all, relevancy of content must be carefully considered to prevent clutter.

Deployment Management – An individual must be designated to manage the initial deployment from the business side; this will include determining what groups are brought in at what time (based on insuring that they have the proper training, have been briefed on content management and content rules).

Change Management – This role (or group) must decide whether to create a co-committee for change management or to work across the GC to manage authorization and acceptance of new features, workflows, third party tools, etc. The intent is to focus only on the SharePoint functional aspects and not development; it is assumed that any development will follow normal change management procedures in place.

Cost Tracking and Management – In some cases, it can be ideal to track the 'cost of usage' on a per-department or group basis with costs calculated based on amount of storage, number of users, etc. Since the agency does not currently do such accounting, the governance committee must decide if tracking usage will be useful and designate who will manage this information.

Roles and Teams – The committee must designate two or more people to define and maintain the specific roles to use throughout the site and act as "Master Site Administrator". Basically, the roles must define who is allow to modify what in a given site – for example, who can maintain pages, etc. The same role model should be applied across the board to simplify training and avoid confusion. These individuals may optionally decide to use teams in terms of expertise – scanning, workflows, content, and training – 'loosely' defined groups of individuals that are specialists in an area that are able to assist others.

Site Use and Classification – This role may be combined with the Master Site Administrator and will be the primary deciders for site use and classification in terms of what templates are available. In most organizations, this area is much more detailed, i.e. providing breakdowns of Site Template development, etc. however for the agency, it is recommended that use of functionality and features should be restricted to 'out of the box' to reduce complexity and training requirements.

Content Management – This role is responsible for not the actual management of content, but the setting of clear definitions of content to be used in the site. This includes rules for secured documents, appropriate content, disallowed content, rules on personal and My Site content, handling of material subject to PHI or HIPAA, handling compliance, etc. While much of this most would consider "common sense", it must however be clearly outlined and enforced as a policy.

Service Level Agreements – This group must work with the business, IT resources and the internal infrastructure group to determine the SLA's to be applied to the site. This includes acceptable maintenance windows and scheduled downtime, uptime availability and most important, acceptable time to restore lost documents, lost sites and an SLA for disaster recovery. Since this system will be mission critical, it will be necessary to set these SLA's and ensure that they are known by all users. In addition, this group must establish in the group or a specific team to address business continuity planning for the system. The current operational policies do not cover the aspects of the system so new policies must be created. For example, it will be necessary to define a policy on how a district office or case worker handles extended system downtime when scanning is not possible and/or documents cannot be accessed. This includes the steps to recover from these situations (backlogged scanning, etc.).

Note that this group must follow an agile method to prevent interruption of daily work – this means:

- **Meetings** – no longer than an hour, with the exception of presentations (i.e. Third party tool presentation); should be able to provide in online format in the event physical presence is not possible.
- **Agendas** – Meeting agendas must be created prior to meeting to enable preparation and research when necessary; it is suggested that a rule be set as "No agenda, no meeting".
- **Regularity** – other than keeping a rigid repeated meeting time through the deployment, afterwards the group should meet only as needed. Meetings should be skipped (with notice) if there is not enough on the agenda to support it. However, there should be a designated way for all users to request an agenda item – for example, via link on the home page.

Infrastructure and Management

The IT group is already responsible for the actual systems maintenance and backup operations of SharePoint 2007 however the 2010 implementation is considerably more complex and introduces management of a mission critical system. It is expected that they will handle day to day and Production Support will handle initiating response for actual outages and failures. Other aspects of the management will need dedicated 'groups' (though in some cases, these will overlap and/or be handled by a single individual):

Security – This group will be the principal managers of the basic site security only – that is deployment of sites and authorization of Site Collection Administrators (SCA's should handle site by site security) and the general security of the system to include Network Firewalls, VPN access. This group will also be responsible for taking groups designated

by the Governance Committee and aligning them with Active Directory groups. Note: Security within a Site Collection is delegated to local Site Administrators and managed by the SCA – not infrastructure.

Farm Management – This group will be responsible for the daily operations and upkeep of the Farm environment to include system swaps, background job operations (imports from AD, etc.) and management of load balancing operations. This will include management of some third party jobs.

Monitoring – As operations focused, this group will be responsible for the monitor of SharePoint and the SharePoint farm through standard methods, event logs and use of SCOM, AvePoint or other tools. It will also be responsible for capturing SharePoint logs for Search and tuning search when necessary.

Maintenance – This group will be responsible for the general maintenance of the systems and the software including Operating System and Application Service Packs. This will include scheduling of maintenance windows, developing fall back scenarios, applying service packs, validating correct operations, etc.

Disaster Recovery – This group will be responsible for development of the Disaster Recovery Plan based on the Business Continuity Plan(s) developed by the Governance Committee and those developed for individual group needs. This will include consideration of restoring from complete failure, facilities unavailable, retrieval from offsite storage, etc. BCP/DR planning will also have to be extended out into the district offices.

Archival and Retention Management – This group will be responsible for the maintenance of the SharePoint (and database) backups, offsite storage and retention based on requirements set by the Governance Committee and regulatory requirements. Based on SLA's, this will include how long to hold a backup to ensure site restoration, how long to store backups for DR, etc. In addition, there is a content side of the operations regarding storage. By default, SharePoint does not archive content; rather it is 'expired' but remains in the database. There are no mechanisms out of the box to archive documents however there are alternatives that must be explored:

1) Users can be responsible for 'cleaning' up on their own
2) Expiration of content should be forced through metadata (recommended anyway) and 'expired' items displayed using a Content Query part to notify users of items to be deleted
3) A content level 'sweep' can be done quarterly
4) A Custom SQL Report can be created to read the SharePoint database and provide a summary report of content that should be archived
5) A Windows Application can be developed to track expired content directly through the database and provide a notification report and optionally, automatically delete the content (recommended method)

Archival methods depend on need:

1) A duplicate site (created via backup/restore) can be maintained at specific calendar checkpoints (i.e. every quarter) to ensure content is available for 'n' months back
2) A duplicate site can be maintained and when users remove from one, they add it back to the archive site (not recommended)

NOTE: The above applies to the collaboration usage of SharePoint only; the management of scanned documents will be handled through KnowledgeLake's software.

Quotas – This group will be responsible for setup and maintenance of Site Quotas (storage limits as set by the GC) to be used throughout the site and notification to groups/individuals when nearing or exceeding limits (note that notification is already a feature of SharePoint). Note: This task can also be assigned to someone by the Master Site Administrator but requires granting access to SharePoint Central Administration.

Reporting and Auditing – This group will be responsible for enabling and disabling logging, auditing and statistics gathering in SharePoint. Reporting for this will be based on the reporting already available through SharePoint and the SQL Reports package available from Microsoft. Additional reporting would require development.

Deployment and Development

Deployment and development cover the Master Site Administration functions and customizations to SharePoint. Master site administration is effectively the owner of the Central Administration functions center around site management and enabling/disabling features (vs. Infrastructures management of jobs, imports, etc.). In SharePoint 2010, this role is critical to manage the multiple services (search, user data import, etc.) and monitoring the KnowledgeLake functionality (image imports, etc.). Master Site Administrators also handle the management of services[2] – metadata, search, etc. and ensure they are properly configured.

Development involves extending SharePoint functionality – this includes use of SharePoint Designer, Master Pages, JavaScript, etc. through the UI and the development of web parts, features and site templates. It is recommended that the agency not make an effort into extended development (web parts, etc.) until it has been fully adopted and operations (scanning processes, backups, etc.) are completely stable. One exception here would be workflows created through the SharePoint User Interface and through the use of SharePoint Designer.

Deployment

Branding – Branding covers the 'look and feel' of SharePoint including images, page format, navigation and colors (including out of the box 'Themes'). As a matter of consistency for, a common style must be used across all sites by site type. This is to

[2] Note: Services can have designated Administrators that have access only to the service and settings; they cannot make other changes in Central Administration.

prevent a 'clunky' feeling of navigation, having to reorient depending on the site, and prevent users from the impression that they have navigated out of the site (even though they may be navigating between SharePoint Sites). As a background:

> *SharePoint provides for multiple ways to change the look and feel. The lowest level is through the UI where 'adjustments' can be made to navigation, home page, etc. The next is through themes provided by SharePoint which basically keep the same page format but change colors and out of the box master pages that change the structure of the page. The next is through development of custom master pages either through SharePoint Designer or through the use of custom controls. Through designer, a master page can be customized with images, colors, etc. however limited to working within the SharePoint model. The advanced method is usually a combination of controls (heading/footing) and customization of Cascading Style Sheets (CSS) that require technical development.*

Of the possible branding methods, it must be decided what is permitted within agency sites (every type) either by the Governance Committee or as an agreed standard across the users and communicated to all of the users that will have such access.

Site Provisioning – The rules of Site Provisioning must be established before the deployment of the initial site and strictly enforced by the Master Site Administrator. In general, "Farm" level site collections are usually created by the Master Site Administrator to ensure that the proper settings (Quota's, Site Administrator set, etc.). Within a site collection, however, the responsibility for site creation must be delegated to a group of Site Administrators or granted to each Site Administrator with a policy or guidance on management. Management of sites includes removal of 'dead sites' or sites no longer in use, assigning user and group access, organization within Site Directories and enabling/disabling site features. As well, each administrator must act as 'gatekeeper' to accept requests for new sites and to qualify them to prevent "site sprawl".

Note: the Governance Committee may opt to set the policies for capabilities within a site, what qualifies for site creation and maximum number of sites to be allowed.

Customization – There are many aspects to customization through the SharePoint User Interface and with the use of SharePoint designer. It is necessary for the Master Site Administrator to set standards on customizations to make certain aspects (like Navigation) consistent throughout all sites. Other standards include home page layout, site structure and use of Site Directories (including classification of site types to control the organization of listings, i.e. groups such as "Project Sites", "Document Storage Sites", etc. instead of free form).

Policies and control in the usage of SharePoint Designer must also be handled by the Master Site Administrator, if use is allowed at all. There are many ways in which SharePoint can be enhanced using designer that cannot be done any other way and it is in fact, the fastest tool to use create multiple lists and libraries. It is also the primary tool for creating user based workflows and is used for creating master pages and more often, page layouts. The caveat is that Designer can also corrupt a site or page and make it unusable and that custom workflows, if not correctly constructed can 'break' or never stop causing heavy consumption of system resources. It is recommended that Designer access be turned off by default and the Master Site Administrator either have sole

access and/or the ability to delegate to users when they have been provided enough training to the tool safely.

Note: The Governance Committee may opt to set the policy for use of Designer or simply delegate it to the Master Site Administrator.

Warning: Microsoft provides SharePoint Designer free of charge thus virtually any end user may have it. Access to sites from Designer is enabled by default and must be specifically disabled to prevent access.

Site Definitions – Site definitions define the 'presets' of a site to include lists, libraries, and master pages and page layouts. An example would be those already provided by SharePoint (Team, Document Workspace, etc.) and enterprise sites (Publishing Portal, etc.) and many are available as customized by project (Project Server for example). While an out of the box strategy is recommended for the agency (and throughout the completion of the overall project), this aspect of SharePoint should be utilized down the road in the creation of standardized site structures that can reflect special ways in which the agency works. One example would be the monthly audits that review cases – a specific site template could be setup with a document library for storing notes and documents, a calendar used to schedule reviews and a task list to assign review tasks.

Development

Development Standards – Development around SharePoint includes the creation of Solutions, Event Receivers, Web Parts and Workflows. Standards for all of these must be consistent through the development group and required by any third party development. For the agency, new to this type of development, specific standards must be set in:

- **Common Namespaces** – Namespaces are vital to preventing conflicts with methods, SharePoint's API, etc. It is suggested that a namespace be assigned (and strictly used) by functional area and by purpose – for example: ALMED.Intranet.WebParts and ALMED.Intranet.Reporting.Dashboards, etc.
- **Common Public Keys** – In general, any additional 'code' (DLL's, web parts, etc.) must be strongly named using a key (.SNK file) to create "Strongly Named Assemblies". It is suggested to set a standard like the Namespaces in which either a single 'corporate wide' key or keys defined by function – for example ALMEDIntranetDev.snk or ALMEDWebParts.snk, etc.
- **Common Utility Library** – The purpose of SharePoint's modular development is to reduce development time overall. By typical design however, SharePoint leads many developers to create one-off methods that could have reuse. Since the Development Group already does this to some degree with application development, this should be carried over into the SharePoint space as well. I would suggest developers review new development in the course of normal status meetings and work to combine common routines into a "SharePoint Utility" module that can be shared by the group.

Source/Build Control – As the Development group already does, all code development for SharePoint should be stored and built from Team Foundation Server. However, the group will have to adopt the use of the "WSP Builder" for all SharePoint projects.

Available from the CodePlex.com site, the WSP Builder is the standard tool for creating installation (solution) packages for SharePoint (solutions can be deployed and retracted from SharePoint easily).

Training

Training in terms of the Governance Model covers the requirements needed for each level of user that will either manage or work with SharePoint. Up front training can often be done with the assistance third party training programs however, it will be necessary for the agency's existing resources develop reusable that are specific to how the Governance committee determines capabilities.

Each of these programs should be done with the actual site (to ensure training matches with what the user will actually see) and be customized to specific step by step instructions covering only what they will be permitted to do to prevent 'over learning' and confusion.

Note: A previous effort like this was done for the deployment of the 2007 version; a similar program should be considered for the 2010 deployment.

Administrative Training – SharePoint Site Administration covers the management of a site or sites overall to include user management and permissions, feature management, search management and sub site management. For the Master Site Administrator, this also includes working with Central Administration in management of the application (turning logging on/off, managing application level features, changing Site Administrators, etc.). In addition, administrator training should include all of the training areas below. To support the overall application, the agency must designate at least two primary and two alternate people for this training to support the operation (note that this was cited as a risk area).

Power User Training – There are many capabilities in SharePoint that can be used by 'power users' – those with the ability to develop their own functionality. This would include working with InfoPath and Excel Services. The complexity is due to the implementation – using Excel Services for example, requires coordination with the Master Site Administrator to enable the services and to designate 'Safe Libraries' within sites. Users must be trained in the setup of the libraries to use and how to update and refresh data used from Excel Files. Other areas for training (if allowed) would be Designer workflow development and Advanced Content Management (creating Site Columns, creating Site Content Types, creating Page layouts, etc.). Since this will likely be an advanced feature, the agency can likely 'back burner' this level of training until the use of it is evaluated by the Governance Committee.

End User Training/Training Continuity – End user training must be considered an on-going process that must also be included in the on-boarding process for new hires/transfers. This program must cover the general basics that are to be available to all users.

Help Desk Training – In general, it would be recommended that Help Desk associates be trained as an end user but should also get some additional training in both Site Administration and Content Management and be provided methods to help identify problems specific to SharePoint's operations (for example, "can't login", "need to create a library", etc.).

Taxonomy, Navigation and Search Management

Taxonomy, navigation and search in SharePoint involve the collaboration area only and not document management. In general, the document management side can be considered a single Search Center – users need not worry about where documents are so navigation is not an issue.

In the collaboration site, they do matter as taxonomy, navigation and search have a lot to do with the actual usability of an information resource since it sets the 'tone' in terms of the organization of information. As an example, a typical library organizes books by category, subject and author – a known pattern that users can easily relate to.

The same is true with the information architecture and the application (taxonomy) to the information to promote it. Using the same example, a person can walk into a library knowing that they will find books on Cooking in the Cooking/Baking section.

The taxonomy must match the same goals in that when a user comes to a site, particularly subject matter sites, that the information will be 'generally' organized in the same logical 'order'. The same principle is applied to the topology (navigation) of the information resource – it should be both relevant to the current subject as well as familiarity to allow a user to 'intuitively' know where to go. Search is generally the default method when all else fails; and that too, must be tailored as a resource to enable users to get what they need quickly.

Site Taxonomy – The taxonomy of the site is used to set the organization of information as a whole as covered by the information architecture. Like navigation, a policy to follow the information architecture is necessary and content owners must be clearly aware where to put content. The primary purpose is for end users to be able to intuitively know where information is located; if consistent throughout the site, it reduces training and provides a guide for new users. The Master Site Administrator should work with individual content owners to manage sub sites and guide them through the posting process to ensure consistency.

Site Topology – The topology of the site sets the standards for navigation within the site. By default, SharePoint provides navigation on both the top of the page and page level. Both navigation bars can be modified to include/exclude pages and sites, show parent level navigation and have custom links added. In general, a policy must be set to keep these consistent to ensure that users do not 'get lost' when navigating the topology. For example, if one site features 'sub sites' as the top navigation and another pages, the user would easily be confused. Note: Wiki's may divert from this depending on how they are organized. If used as a knowledge base that is somewhat standalone, a link back to the home page of the intranet is sufficient, allowing navigation to be dedicated to the subject.

Site Directories – Site directories provide lists that allow sub sites (not child sites) to be categorized to make them easily accessible to end users. Since categories are free

form, use of directories must follow a basic policy with a minimum "standard set" of categories to reduce searching time. Typical categories would include "Workspaces", "Project Sites", "Document Stores", etc. however there will be additional categories specific to functional areas – for example, Learning and Development might have "Course Development" – HR might have "Policy Development", etc. A basic set of common categories across all groups should be set and used each time a site directory is created and additional categories specific to the group should be added after. Deployment in this way will ensure that the familiar set of categories is always available.

Site Columns – Site columns in SharePoint enable the creation of common fields that can be used in Lists, Libraries and Site Content Types. These must be defined initially as a part of the content development effort, the common set of fields to be used for metadata and search (see site content types below), those intended for reuse and those to be used (and reused) in Site Content types. When used as metadata (included with a list/library), Site Columns provide grouping and sorting and are included as a part of search (the same as all columns in a list). Combined with this is reuse; instead of defining a column (metadata) for each list, it can be defined once and reused. A good example would be a "Program" choice field which would allow users to select which office as a drop down list. In search, "SOBRA" would produce all content that has been tagged as something to do with the SOBRA program.

Site Content Types – Site content types are used in SharePoint for two purposes. In content, they are used to define the 'fields' that are displayed within a Page Layout. In lists and documents, they provide a 'profile' or set of columns that must be filled out based on the individual item. Users must be instructed to always use content types vs. default lists.

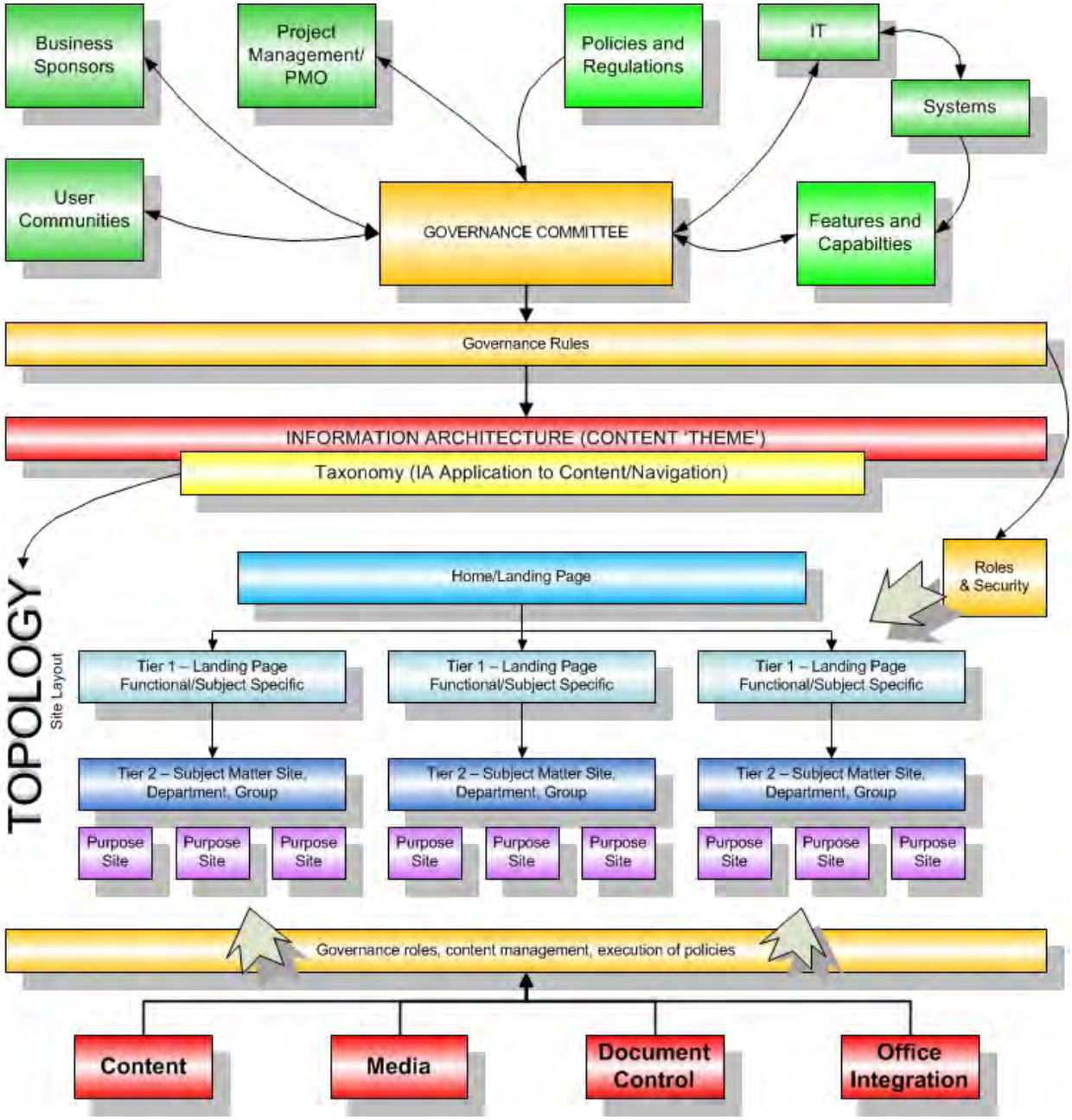
Search Keywords – Search keywords are in addition to the metadata defined for lists and libraries and include synonyms for like matching and suggestions. For the initial deployment it will be necessary to guess at possible keywords as they relate to the content for example "Co-Pay program". However, it is a very well-known fact that what content producers expect and what users actually use are different. Because of this, SharePoint search must be consistently tuned by means of reviewing the Search Logs to determine common keywords and phrases being used, etc. then to adjust keywords and metadata requirements to match. This is usually a monthly task handled by the Master Site Administrator.

Search Ranking – Like keywords, searchable items can also be ranked within SharePoint however, ranking is not directly managed. Instead, it is a combination of 'weight' based on Name, Keywords, Metadata and actual Content. A specific document name would rate high, whereas a phrase in document would rate low. Note that metadata (columns in the list) can alter this slightly. Measurement of how well ranking is working is something that must be coordinated through the users (often by surveys). Manual adjustment can be done by adding/removing keywords and metadata (add to increase, remove to decrease) as well as marking Sites unsearchable. It is recommended that this method be used by the agency initially. If ranking does not improve, there are programmatic ways to make adjustments (see http://blogs.msdn.com/b/brianwilson/archive/2007/02/26/fine-tuning-search-relevancy-in-

moss-2007-getting-the -search-results-your-users-expect-part-1.aspx), though that is out of the scope of this document.

Governance Application

Governance planning covers all aspects of the implementation, from concept to initial deployment then transforms to become an on-going oversight to the content and information architecture as well as assists in implementation of new features and functions that may come from requests by business, users or from IT from systems upgrades, new packages, etc. Within the overall collaboration site, the Governance will be a key player on rules, content and roles (note the three levels of management, IA, Taxonomy and Topology):



Executing the Governance Plan

The Governance Plan is only effective when followed consistently and revisited to accommodate for changes in the business, new requirements (regulations, etc.) and when looking at adding a new large content model (a knowledge base for example).

The startup of the Governance Plan should begin before the physical deployment plan so that key guidelines are set and can be used during the deployment, specifically around site columns and content types since they will be used for both new content and content migrating from other systems.

The recommended startup approach is as follows:

Step 1 - Create the Committee

Begin with creation of the Governance Committee (GC) by assigning principals and delegates from each functional area (delegates to be involved initially then can 'sit in' as required when a principal is not available).

Initiate a kick off meeting to have everyone familiarized with the goals of the committee (management of SharePoint, security management and functional oversight). During this meeting, the committee should designate the Master Site Administration group that will a) be provided Administrator training and b) guide the initial deployment of content and site provisioning. Selected alternates should also have training and be involved in the definitions effort.

Establish a formal meeting to set the operating definitions around the SharePoint implementation – this can be combined with the kickoff or the 'first official' meeting:

> **Decide level of branding** – this includes what branding will be available at what level, what level consistency can be broken, etc. Result of this should be the guidelines for the users and the sub-project for the development of the branding defined.
>
> **Define standards for infrastructure (Quotas, etc.)** – Establish with the Infrastructure team how much time is required to restore data from the whole site (estimated of course) to individual sites. A whole site restore can be estimated by rough numbers (2 hours, 4 hours, etc.). Sites can be more specific, example, 4GB = 1 hour. These numbers are then used to create the measurement for the SLA. Quotas should be set to match need (some may need to store very large files) and restore time – this can then be relayed to the site administrators "If you have x, it will take y to restore, if you expect to exceed that regularly and need it faster than y, you must break up content between sites".
>
> **Define General Governance Rules to Content** – For both agency content and personal content, develop a category summary of all content in use, documents (printed), documents (stored/softcopy), video, images, vendor materials, regulatory materials, etc. Sub-classify this by security and protection; security as in controlling access and protection as in confidential or proprietary. Match the existing policies within

each category by security and protection levels. For those without policies, determine if one should be established. Create a final 'mission statement' style summary of the rules by category as the established guidelines. Note that these guidelines must be incorporated into the actual Information Architecture to enforce them.

Determine Permissions Levels – This effort is to set the guide lines for user permissions within the site. Rights can be designated at a granular level but this is overkill for the agency and it is recommended that the standard SharePoint definition be used (regardless of the actual names to be used). In total, there are nine distinct rights groups pre-defined, in practice however the Governance is primarily concerned with the primary roles:

- Owner – Full access to the site, add/modify/delete users, enable/disable site wide features, set home page, set master page, etc.
- Approvers – Generic group that can approve changes to pages, list items, uploaded documents.
- Designers – Can view, add, update, delete, approve and customize the site.
- Members – Can contribute to lists, upload documents, open documents, etc.
- Viewers – View content only

Other roles (Hierarchy Managers, Quick Deploy Users, Visitors, etc.) are for specific purposes and most likely will not be necessary for the first phase deployment.

The agency may want to setup multiple SharePoint groups that have the rights assigned – for example, DistrictPageOwners, HRMembers, etc. These can be useful for Cross Site access when groups are collaborating in different areas of the site.

Coordinate Initial Training – Successful implementation will mean users knowing how to use SharePoint; the entire training plan from Administrators down to the end users should be defined and coordinated and timed with either the first release or when they will have access.

Develop roll out plan with hard end date – The rollout plan will cover the basics necessary for standing up the site, migrating content, adding users, setting permissions, etc. From that, a hard end date for all 'setup' must be finished.

Determine initial launch date – Set the date for initial launch so that all groups working towards it have a stake in the ground as to when everything must be ready to go (within the scope of the first release). This will be particularly important for those that will need to migrate their content and documents and districts that will be involved.

Step 2 – Begin Execution of the Rollout Plan

Formalize all plans – All groups involved in the plan for roll out should get a copy of the plan for review; this will allow them to compare with internal planning and adjust the

formal plan as needed – time for review should be a short window (1-2 days maximum). Once all comments and adjustments are made, the plan should be published to every group affected or involved in completing a task.

Plan Kick off meeting – This is the actual kick off meeting in which all groups that have tasks should be present to review the plan and understand commitments to specific dates and interdependencies. At this time, the Governance Committee should also establish how changes to the plan are to be communicated so that training, initial launch, etc. is not in jeopardy.

Step 3 – Engage Infrastructure

Build out the farm – Deploy the hardware and software, install and configure SharePoint, validate connectivity (Active Directory, etc.), validate SharePoint functionality.

Test operational (load balancing, firewalls, VPN) – Implement and test load balancing between servers, verify firewall protection and ports needed for SharePoint, validate network connectivity and test VPN. Stress testing (using a load program) is only required if there is a noticeable performance problem.

Enable Monitoring – All systems within the farm should be setup for network level monitoring using SCOM or similar; this should be checked regularly before deployment to ensure that all systems respond.

Deploy the Metadata Master Site – This will require creating an application and deploying a site using the Publishing site template; this will be the site that will contain common metadata definitions.

Deploy the Top Level Publishing Site – This will require creating an application and deploying a site using the Publishing site template; this is will be the top level site of the site collection.

Enable Access and Services – Enable the proper account access (as required) to enable operation by the Master Site Administrator (including Central Administration access). This group will also enable all additional services that have been authorized (i.e. InfoPath Forms services, etc.).

Coordinate support training with Help Desk – Ensure that help desk support personnel have proper access to the top level site.

Step 4 – Site Setup

Implement Branding – Implement the branding and master page(s) and verify into the top level site (this must be done before site build out).

Create Site Columns – Define and create the necessary site columns needed for Page Layouts, custom lists and for content types (collaboration only – KnowledgeLake content types are defined by KL).

Create Site Content Types – Define and create the Site Content types to profile list items and documents.

Create basic set of page layouts – Determine if out of the box page layouts are sufficient for content; develop and add page layouts (using Designer) as necessary. All page layouts must be tested and published. Note that this is optional; for what the agency needs, the out of the box page layouts will likely be sufficient.

Setup initial taxonomy, topology and navigation – The Master Site Administrator should create the initial top level and landing sites that will the key taxonomy. Each of these sites should have the navigation options set as agreed.

Add Site Owner Users – The Master Site Administrator should then add Site Administrators to the landing pages they will own and these users should in turn, validate they have access and the proper permission in the sites.

Step 4 – Content Migration and Deployment

Develop Home Page – The Master Site Administrator should build out the primary site home page to accommodate the design of the content layout and add links where necessary to match the topology. This will include adding the navigation links to link with the KnowledgeLake site pages (search center, etc.).

Begin migration of Content from existing sources – Site 'owners' should begin migrating content and documents into the new site using the proper content types and custom lists.

Coordinate Cross Content – With content loaded, the Master Site Administrator and other site administrators should meet to coordinate cross over content that can be shared (for example, HR news on the Home Page). As with feeds, these should be tested and verified by the site administrator supplying the content.

Perform a UAT – As a sanity check, the Master Site Administrator should scan through the site with an end user group to verify operations, site access, scanning processes, etc.

Step 5 – Pre-Launch

Begin Search Schedule – Two days before launch, it will be necessary to start the Search schedules and begin indexing content.

Add General Users – The day before launch, Infrastructure must invoke an Active Directory import to ensure all users are loaded then the common AD groups added to the SharePoint site. When complete, Site Owners with secured sites should add their respective users and user groups to their sites.

Step 6 – Launch

Coordinate Launch – On the day of launch, the Infrastructure group, DBA and the Master Site Administrator must continuously monitor the operation of the site.

Step 7 – Post Launch

Note that Post Launch activities should be done following a 24 hour cool down period to ensure proper operations and not impact performance.

Begin Schedule for SharePoint Wakeup – Begin running the SharePoint Wakeup process to handle the SharePoint Cache (SharePoint dumps cache every 24 hours, SharePoint Wakeup refreshes the cache to increase performance).

Enable Logging – During the launch, no user based logging should be running (by default it is turned off); when the system is stable, full logging should be enabled to test for level of performance impact then reduced to mid-range logging for actual data collection to begin. Note: Even if logging during launch, those numbers should be disregarded as they will inaccurate skew search and other metrics.

Begin turnover to content owners – As Site Owners are prepared, the Master Site Administrator should turnover all management of content areas (i.e. District pages).

Begin development of Workflows – With the system stable, users should be notified that they are free to use the pre-built workflows available. At this time, the development of custom workflows can begin using SharePoint designer. Note: Custom Workflows should be tested in a test environment first – if a development environment is not available, these should be tested with the Master Site Administrator using a test team site that can be deleted afterwards. Note: Test Sites used in this manner should always be set to “non-searchable”.

Governance Risks

Regardless of how comprehensive the Governance Plan is, there must be a commitment to making it successful. Areas of greatest risk resulting in a failure include:

Lack of personnel to support the environment – SharePoint combined with KnowledgeLake is a fairly complex environment and one that will quickly become a bottleneck in the event of any system outage. The overall system must have oversight regularly to include checking logs.

Lack of support and commitment to making dates – The rollout of SharePoint must be carefully coordinated to ensure things like hardware and software are in place before scheduling migrations – this means every group must commit to their respective delivery dates and be willing to offer support to any others during rollout.

Not enforcing policies on content and metadata – Policies, quotas and metadata rules must be followed to the letter in order to satisfy requirements as well as enable adjustment later. Lack of metadata for example can completely skew logging results.

Not following the plan or creating "work arounds" – "Just this one time" should be highly discouraged; if there is a problem with executing the plan (lack of resource, etc.) it should be revised.

Not providing training in a timely manner – Training is key need and it is vital that the support and administrative level users be able to coach and mentor other users. Users themselves must have adequate understanding before using the system.

Missing the Launch Date – This is not too problematic for the agency if the actual launch date is missed however, users may 'forget' things learned if they are unable to work with the system.

On-going Information Management

Management of the taxonomy that enforces the information architecture is a key to making the intranet a useful and efficient tool. It is the task of the Master Site Administrator to work closely with site owners to ensure they follow the same format. Once the information architecture has been set, it is necessary to keep it maintained – if broken, information becomes disorienting and usage will drop off.